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Organization and Management Systems in the Forest Service



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Chapter 1. Introduction

The Forest Service, under the direction of the Secretary of Agriculture, is responsible for applying sound conservation and utilization practices to the natural resources of the National Forests and National Grasslands. It is also responsible for promoting these practices among all forest landowners through example, cooperation, assistance, research, and the dissemination of information.

So vast a system frequently needs to be outlined, clarified, and interpreted, both internally and externally. Statistics are constantly changing, old ways of doing things are being updated, and new elements are being added as the old become history. The purpose of this book is to provide needed interpretation and understanding.

The framework for all Forest Service management and planning activities is the Forest and Rangeland Renewable Resource Planning Act of 1974 (RPA) and its amendment, the National Forest Management Act of 1976 (NFMA). These laws encompass the activities involved in the management of the 188-million-acre National Forest System, the operation of cooperative forestry assistance programs with the States and private landowners, and the operation of the largest forestry research program in the world.

The core of RPA is the requirement to assess all the Nation's renewable natural resources and projected demands for them, as well as a program of activities for the Forest Service based on that assessment. In 1978, Congress also strengthened the positive effects of RPA by passing laws that updated and broadened programs in cooperative forestry and forestry research.

The NFMA focuses on land and resource management planning, silvicultural practices, public participation in decisionmaking, and other activities in the National Forests.

Management of the National Forest System

The 154 National Forests and 19 National Grasslands cover 188 million acres in 41 States and Puerto Rico. Each National Forest resource—water, timber, forage, wildlife, wilderness, and recreation—is managed with other resources to meet present and future public needs, both local and national.

Watersheds are managed to regulate streamflow; to control floods and erosion; to serve as water-storage areas; and to supply clear, clean water for agricultural, industrial, recreational, and domestic use. Much of the Nation's water flows from National Forest lands.

National Forest timber is managed on a sustained-yield basis. Applied forestry and the sustained-yield principle are prerequisites for ensuring adequate future crops of high quality timber, as well as other renewable resources.

Wildlife, too, is managed as a renewable crop. The aims of the Forest Service are to keep animal numbers in balance with available food and shelter and to protect

threatened and endangered species. Hunting and fishing, permitted in the National Forests under State laws, provide sport for millions and control excess wildlife populations.

The recreation resource is managed to best serve the ever-increasing number of people who use the National Forests for sport and relaxation. Opportunities range from developed campgrounds and visitor centers to undeveloped back-country and wilderness areas. Activities include a wide variety—birdwatching, backpacking, horseback riding, snowmobiling, ice fishing, swimming, photography, berrypicking, skiing, picnicking, auto touring, boating, and rock climbing.

The 19 National Grasslands, administered by the Forest Service under multiple use-sustained yield principles, contain 3.8 million acres of public land. The Forest Service also administers 22 land utilization projects on 59,300 acres of submarginal lands.

Underlying all planning and action is the philosophy of managing forest resources harmoniously for the benefit of the greatest number of people. This concept is called "multiple use." It was written into law for the management of the National Forests as the Multiple Use-Sustained Yield Act of 1960, and it is the cardinal management principle for these lands. Its emphasis on balanced use and high sustained production of goods and services from all forests and ranges is a consideration in both research and cooperative forestry activities.

"Sustained yield" of renewable resources from the National Forests means achieving and maintaining a high level production of these resources without impairment to the productivity of the land.

During fiscal year 1979, the following goods and services were produced on the National Forest System: an all-time high of \$1.4 billion in cash receipts from National Forest timber and other land uses, one-fourth of which went to the States for school and road use in counties containing National Forest lands; a harvest of 12.4 billion board feet of timber; timber stand improvement on 324,000 acres of land; paid grazing permits granted for about 2.8 million head of livestock; nearly one-half million big-game animals and larger quantities of smaller game and fish taken by hunters and people who fish. Recreation visitor-days numbered 220.2 million during the fiscal year.

Cooperation with States and Private Forest Landowners

Forest land covers one-third of the total land area of the United States. The Forest Service cooperates with State agencies and private forest owners to: (1) better protect the 450 million acres of State- and privately-owned forests and critical watersheds against fire, insects, and diseases; (2) encourage better stock for non-industrial private forest land; (3) aid in distribution of

planting stock for forests, shelterbelts, and woodlots; and (4) stimulate development and proper management of State, county, and community forests.

More than 1 billion seedlings were planted on some 2 million acres in 1979, mainly on private lands where the need is greatest. About 50 million acres still need tree planting. The total acreage burned each year nearly balances the acreage planted and seeded.

Forest and Range Research

The Forest Service conducts forest and range research through its eight regional experiment stations, the Forest Products Laboratory, and the Institute of Tropical Forestry in Puerto Rico. Scientists study the growth and harvesting of timber; protection of forests from wildlife, insects, and diseases; management of rangelands; protection and management of wildlife and watersheds; efficient and economical utilization of forest products; and forest economics. A continuing forest survey provides comprehensive information on the extent and condition of forest lands, the volume and quality of timber resources, trends in timber growth and harvests, and outlooks for future supplies and demands.

Trees that grow faster, resist diseases, or are better suited to specific localities are being scientifically bred at forest genetic institutes. Both chemical and biological disease and insect management techniques have been improved. Research into forest products utilization has found, for example, that solar drying can take half the time and can produce better quality lumber than does conventional air-drying. Aerial methods to control fires with chemicals have been improved. A computerized information storage and retrieval system called RUN WILD has been designed to manage information on wildlife species distribution, protection status, and key food and cover requirements.

Other work, performed in conjunction with the three major Forest Service programs, includes building and maintaining forest roads and trails, acquiring and exchanging lands for more efficient management, flood protection, and many cooperative projects.

The major activities of the Forest Service and some fiscal year 1979 accomplishments are outlined on this page. The components of the National Forest System plus the headquarters locations of the Research Stations and State and Private Forestry Areas are shown on the map on page 3.

Fiscal Year 1979 Forest Service Activities

Total 1978 receipts: \$1.4 billion

Total 1978 expenditures: \$1.9 billion

National Forest System

Some 1979 highlights in the management, protection, and use of 188 million acres of National Forests are:

- Soil and water resources 35,700 acres treated to improve quality
- Wildlife habitat improvement 974 thousand acres
- Range management 2.8 million livestock grazed on National Forests
- Timber management 12.4 billion board feet sold
- Recreation management 220.2 million visitor-days
- Trails 1,848 miles built
- Fire control 5,053 man-caused fires
- Fuels management 375,000 acres
- Human and community development Work, skills, training, and education for 78,300 people

Service units

9 Regions
154 National Forests (183.9 million acres)
661 Ranger Districts
19 National Grasslands (3.8 million acres)
14 Forest Nurseries
20 Civilian Conservation Centers
12 Land Utilization Projects (59,300 acres)
14.8 million acres of designated wilderness

Research

To provide scientific information for best use of the Nation's 1.5 billion acres of forest and related rangelands, research was conducted in:

- Urban forestry
- Fire and atmospheric sciences
- Reclamation of strip-mined lands
- Insects and diseases
- Forest engineering
- Forest products
- Timber management
- Range management
- Watershed management
- Wildlife and fisheries habitat
- Recreation and wilderness
- Renewable resource economics
- Renewable resources

Service units

8 Forest and Range Experiment Stations
1 Forest Products Lab.
1 Institute of Tropical Forestry
72 research project locations

State and Private Forestry

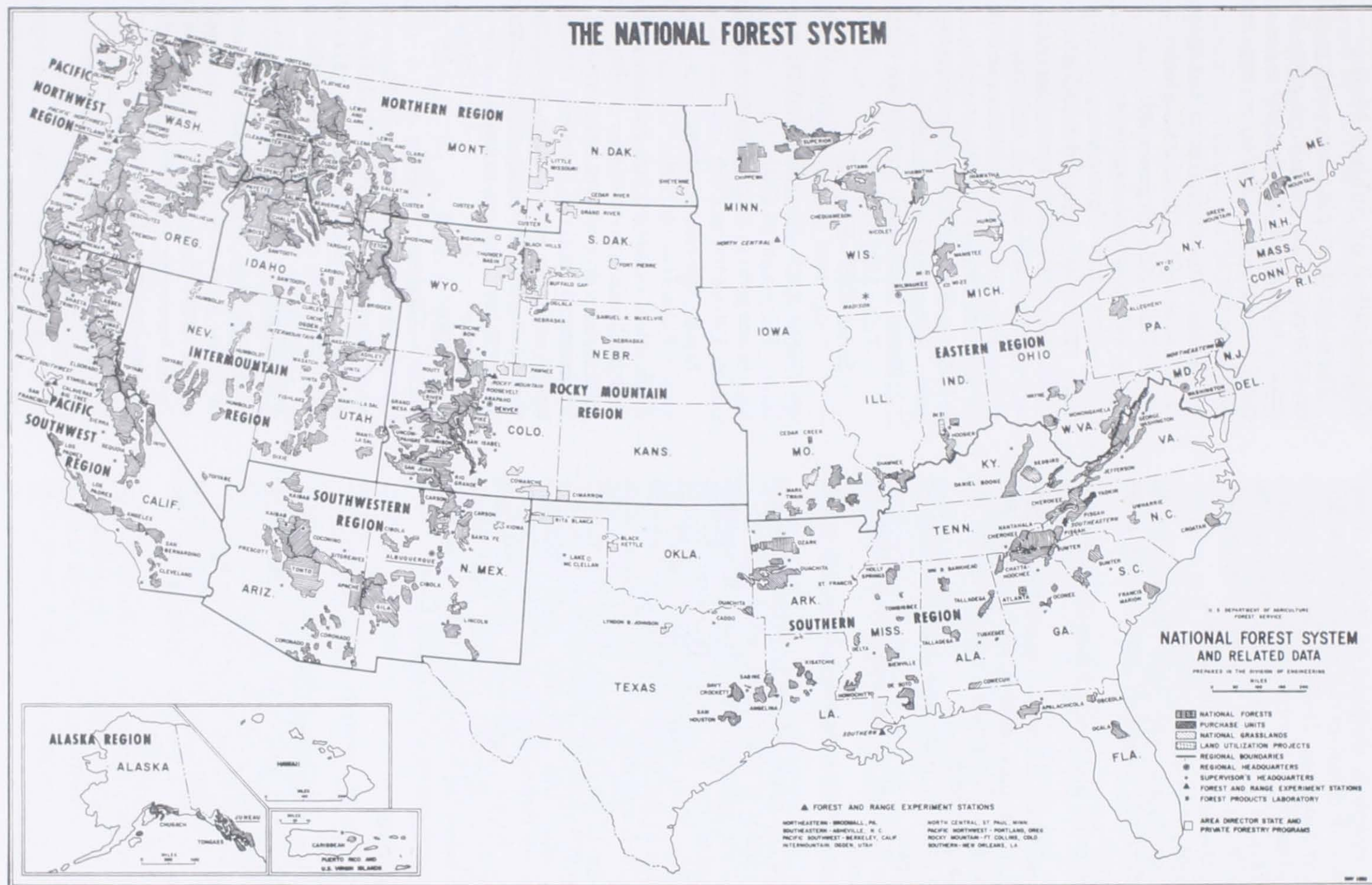
In cooperation with State and private landowners on 374 million acres, expanding needs were met through:

- Assisting land management planning
- Improving resource protection
- Increasing forest yields
- Improving utilization of forest products
- Conserving soil and water
- Assisting minority landowners
- Providing forest recreation
- Enhancing natural beauty
- Increasing fish and wildlife. Assisting the 50 States, Puerto Rico, Virgin Islands, forest industries, public agencies, and community development groups

Service units

Programs were administered through 7 of the 9 Regions, 2 Area Offices, and 13 other field offices.

THE NATIONAL FOREST SYSTEM



Chapter 2. Directives System

The directives system is designed to classify, code, store, and maintain all directives that govern Forest Service programs and functions. Directives are permanent and continuing instructions, issued through the system for the use of all Forest Service employees. Directives include legal authorities, objectives, policies, responsibilities, delegations, standards, and procedures.

The objectives of the directives system are to:

1. Provide employees with clear instructions to obtain efficient and consistent performance at all operating levels.
2. Ensure effective and timely issuance of all directives.
3. Ensure uniform directives, eliminate needless duplication, issue only needed instructions, emphasize clarity and simplicity, and effectively use regulations and bulletins.
4. Properly identify, code, and index all directives to facilitate use.
5. Eliminate the need for continuing instructions by circular letters.
6. Provide up-to-date instructions in readily usable form.
7. Recognize the needs of the principal users and consider the needs of other users, when possible.

The Chief, as the principal line officer, is administratively responsible for all directives issued by the Washington Office. Such material is issued under the authority delegated by the Secretary of Agriculture to the Chief. Deputy Chiefs and their Associate Deputy Chiefs have delegated authority to approve directives in their assigned areas of responsibility. Regional Foresters, Station Directors, and Area Directors have delegated authority to approve directives issued by their respective units. Likewise, Forest Supervisors have delegated authority to approve directives to meet local needs. Directives issued below the Washington Office must meet the requirements and standards set by the Chief.

Types of Directives

There are two types of directives within the system—external and internal.

External directives originate outside the Forest Service. They have authoritative application to Forest Service programs, functions, and activities. External directives come from such sources as the President, the Congress, the Secretary of Agriculture, the Office of Management and Budget, the Office of Personnel Management, and the General Services Administration.

Internal directives originate within the Forest Service. They are based on enabling legislation, regulations, or orders from higher authority and interpret such authorities into implementing instructions for the conduct of all Forest Service operations.

Organization of Subject Matter

The subject matter in the system is organized into seven broad areas, called series. Each series is organized into titles to facilitate distribution and use as a reference. The codes and captions of the seven series and titles for the first series follow:

Series 1000—Organization and Management

Title 1100—Directives System

Title 1200—Organization

Title 1300—Management

Title 1400—Controls

Title 1500—External Relations

Title 1600—Information Services

Title 1700—Defense Activities

Title 1800—Human Resource Programs

Title 1900—Planning

Series 2000—National Forest Resource Management

Titles 2100 through 2800

Series 3000—State and Private Forestry

Titles 3100 to 3700

Series 4000—Research

Titles 4100 to 4900

Series 5000—Protection and Development

Titles 5100 to 5700

Series 6000 to 6600—Management Services

Titles 6100 to 6700

Series 7000—Engineering

Titles 7100 to 7700

Each title is organized into chapters and sections to further facilitate subject-matter coding, indexing, cross-referencing, maintenance, and use. All subject matter incorporated into the directives system is numerically coded under the proper series, titles, chapters, and sections using the seven-place numeric-alpha code system shown in the following example:

Series	1000
Title	1100
Chapter	1110
4-digit section	1111
5-digit section	1111.1
6-digit section	1111.11
7-digit/alpha section	1111.11a

Components of the Directives System

The directives system, which embraces the entire field of Forest Service directives management, has two basic components. They are the Forest Service Manual and Forest Service handbooks. Each component represents a distinct but integral part of the overall system of issuing and storing directives for continuous use. Each component contains parent text, supplements, and interim directives.

Parent text for the Forest Service Manual is issued by the Washington Office. Parent text for Forest Service

handbooks is issued by the office originating the handbook. Internal handbooks are issued by the Washington Office and by the Region, Station, and Area Offices. Changes in parent text of the Forest Service Manual and of internal handbooks are called amendments.

Supplements are internal directives that extend, refine, or localize parent text of either basic component. Supplements are issued by organizational levels below that of the office which issues the parent text. Supplements are coded and organized in the same way as are the parent manual and handbook materials.

Interim directives are continuing instructions that, because of their urgency, cannot be initially issued as amendments or supplements. Interim directives may contain new instructions or revise, expand, or supersede parent text or supplements. Interim directives may be issued at any organizational level. They are incorporated as amendments or supplements by the issuing office within 1 year of the issue date or reissued or cancelled 1 year from that date.

Forest Service Manual

The Forest Service Manual is the key component in the directives system. It is the principal source of Forest Service-wide instructions for line and staff officers at all levels. The Manual contains the basic laws that govern Forest Service programs, activities, and functions.

The Manual is organized within the seven broad areas of the overall directives system. The subject matter under each of the seven series is organized by major programs and functions. Each program is treated to convey: (1) a clear understanding of the program objectives; (2) directions and limitations imposed by law, regulations, and Forest Service policy; (3) delegation of responsibility and authority to line officers; and (4) normal operating procedures and standards.

The Manual is designed for internal use by all Forest Service employees. It gives primary consideration to the needs of the principal users at the Forest and Ranger District levels. Also, the Manual is useful to the Secretary's office and to other public and private agencies having official relations with the Forest Service. Schools and libraries, too, find it a good source of information on Forest Service activities. Many foreign countries request copies and use the Manual as an aid in carrying out their conservation programs.

Forest Service Handbooks

Each Forest Service handbook is issued as a separate unit. Each is tied into the directives system by the assignment of a code number and a caption in the Forest Service Manual. Also, each handbook is listed by code and caption in the Manual contents and in the Directives System Index, FSH 1109.11. The purpose of a handbook

is to furnish detailed instructions in a form that will best serve the user's needs.

Handbooks contain procedures, standards, practices, and techniques that are narrowly functional. They are used primarily by subject-matter specialists, though some are widely used. Most handbooks contain instructions that line and administrative officers use in carrying out their programs. Examples are the Sign Handbook, Trails Handbook, and Filing System Handbook.

There are three kinds of handbooks in the directives system: Servicewide, issued by the Washington Office; Region, Station, or Area, issued by these offices; and external, issued by outside sources and brought into the system in their entirety.

All proposed handbooks are cleared with the Washington Office Directives Manager to coordinate handbook development among interested units, to correlate the material with the overall directives system, and to avoid duplication of effort. Proposals include an outline of the contents and a statement of need.

Directives Preparation and Issuance

Each staff at the Washington, Region, Station, and Area levels drafts and prepares its own directives in proposed final form for issuance. Such preparation includes interstaff coordination. This work is ordinarily done before the manuscript is approved by the line officer and sent to the staff responsible for processing.

The Administrative Management Staff through the Directives Group, is responsible for the final review, editing, and processing of all Manual material and handbooks issued from the Washington Office. Each counterpart unit in the field has a similar responsibility for directives issued by its own office.

Drafts of important new text and major revisions are usually referred by the Washington Office to the field for review and comment before issuance.

Directives that apply to two or more Regions, Stations, or Areas generally originate in the field and the Washington Office.

All directives should be written clearly, concisely, and in no greater detail than necessary for the material to be readily understood by the principal users. Also, directives should not be more restrictive than needed to ensure compliance with basic laws and regulations.

Coded subject matter related to other coded material is cross-referenced to facilitate field use.

Supplements interpret parent text to deal with local conditions; they may not duplicate or alter the intent of the basic material. Questions of interpretation are referred to the Washington Office, if needed, to achieve a common understanding of the directive by all units concerned. Copies of supplements are sent to the next higher office for review.

The primary reference source in the system is the Directives System Index, an alphabetical index issued as a handbook. A second important source is a comprehensive outline of subject-matter headings issued as contents and placed at the beginning of each chapter. A title contents is placed at the front of each title and contains only the chapter codes and captions.

All directives are issued in looseleaf form. Each page is punched to fit standard binders holding about 500 sheets. Numbered tabs for each title and each chapter are used for ease of reference.

Changes are issued with a transmittal sheet, each of which is numbered consecutively for each title and for each handbook. The transmittal sheet tells the user which superseded pages to remove and gives a brief digest of the new or significantly changed text.

Maintaining the Directives System

An adequately staffed and authorized maintenance organization is vital to the success of the directives system. Also, the system must be given line support throughout the entire Forest Service. Line officers are responsible for informing the members of their respective organizations of how to use the system and ensuring compliance with directives policy and procedure.

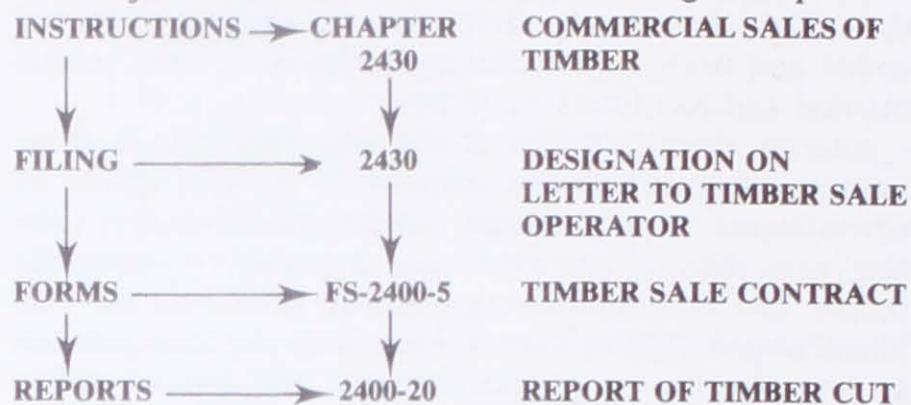
A Directives Management Group is maintained in the Administrative Management Staff of the Washington Office. The group leader has authority and responsibility for developing directives system policies and procedures. The Directives Management Group is also responsible, through channels, for coordinating and controlling all directives originating at the Washington Office level regardless of functional origin or application. The group also provides for training on the directives system and how to prepare directives.

Counterpart organizations are established and maintained at field locations with authority and responsibility

similar to that of the Washington Office Directives Management Group.

Coordinated Coding

The directives code system lends itself to a coordinated method of numbering files, work plans, budgets, informational posters, forms, reports, and other management tools. To illustrate the coordinated code system, consider the subject of timber sales in the following example:



All instructions for timber sales are in title 2400 and specifically under chapter 2430. Correspondence and related materials are filed under a file designation number of 2430. A timber sale is contracted on form FS-2400-6. After the timber is cut, the volume and value removed (report control symbol FS-2400-B) is submitted on Form FS-2400-49.

In the field of timber management, over 50 forms have been developed. These are designated and numbered FS-2400-1 to FS-2400-71. Thus, timber management forms are easily identified by using the title code in the form number.

The coding of systems and working tools emphasizes the interrelationship of these management functions. Likewise, it promotes user understanding of overall administrative procedures.

Chapter 3. Organization

For the purposes of this chapter, organization is defined as the administrative structure under which the Forest Service allocates its program responsibilities to units of optimum size. It includes the assignment of personnel and facilities to accomplish the objectives of each unit. It provides for the control of the actions of individuals and units by specifying to whom each is responsible and defines the extent of their authority.

The diversity and geographical diffusion of Forest Service work require a complex organization. This organization is designed to provide a clearcut, two-way channel for the transmission of policy and instructions from the top to the bottom and for the flow of recommendations and accountability from the bottom to the top. The Chief of the Forest Service is ultimately responsible for all its work, but delegates authority to subordinate officers and units with the assurance that the work will be accomplished according to Forest Service policy and requirements.

The basic objectives in establishing the organization are to provide a structured group of qualified people to carry out the functions assigned the Forest Service by the Secretary of Agriculture and to ensure that the work is accomplished according to the laws, regulations, policies, and directives established by the Congress and the Secretary as interpreted by the Chief.

To accomplish this, the Forest Service pursues the following policies:

1. Delegates maximum authority to subordinate line officers consistent with laws, Department regulations, and retention of control by the Chief.
2. Provides line officers with the help and facilities needed to carry out the responsibilities assigned them.
3. Adheres to the principles of the Civil Service merit system in staffing the organization.
4. Follows the principles of organization planning and position management set forth later in this chapter.

Principles of Forest Service Organization

The Forest Service has adopted a line and staff combination as its basic form of organization. The adoption of this concept does not mean that "line" authority has been delegated to staff. The line retains responsibility for deciding on and activating overall objectives, policies, plans, and programs and for coordination of the different functional activities.

The role of staff is primarily to advise, recommend, observe, and report. The staffs are responsible for furnishing guidance, assistance, and training of lower line and staff levels. The line and staff officials are responsible to their respective line superiors for the application of the functional guidance, assistance, and training received. For example, a Ranger's timber-cut quota may be

developed under the guidance of functional staff, but the ranger is responsible to the supervisor for meeting or not meeting the quota.

The staff derive their authority from the line officer to whom they report. Consequently, they must at all times act in accordance with the views of their supervisor and must have a good understanding of matters that should be discussed between them prior to taking any action. As an overall simplification, the line officer does the programming—"when" and "how much"—and the staff determines "how" a job should be done.

To carry out the complex work of the Forest Service effectively requires the application of the following principles of organization.

1. *Functional segregation principle.* Similar kinds of work can be segregated from the total program and assigned to a person or group. This permits the focusing of specialized ability. The Forest Service has adopted this principle at all levels of management. Examples are the functional staffs in the Chief's office and the Regional Foresters' offices and the functional staff officers in Forest Supervisors' offices. The groups within staffs are examples of further segregation of similar work. Work is segregated similarly in research at all levels.

Organization of work by functions provides for the specialization needed to solve technical problems. It also provides an avenue for the dissemination of specialized information to the various levels of organization. Organizational entities established according to this principle have limited authority. They operate only through authority delegated to them by the line officer to whom they report.

2. *Scalar principle.* The word "scalar" is derived from scale. It is descriptive of positions or links in the chain of command in an organization. Authority and responsibility flow through these links from the chief executive down through the organization. Accountability flows back up through each link to the top. The chain ties an organization together. It provides a direct channel from top to bottom without regard to facilitating groups attached to the direct line.

The scalar principle requires that each employee in an organization have only one boss. Employees receive their authority to act from the boss and are directly responsible to the boss for results. They may receive guidance and technical advice, but not orders, from others.

Two principal types of organization have been developed consistent with the scalar principle. Both of them retain the concept of unity of command. They are:

- a. *Line organization.* This is the most direct kind of organization. Each link in the chain of com-

mand is an individual although each may have groups of subordinates reporting directly to them.

b. *Staff organization.* As the workload of an organization increases, the line officer may be unable to do all the work alone. The line officer acquires assistants, frequently specialists. These assistants, or staff, receive their instructions and return their completed work to the line officer. The line officers alone deal directly with other line units above or below their own unit level. The activities of the staff have no direct organizational effect on the line units.

3. *Decentralization principle.* Decentralization of an organization means putting responsibility and authority to act at the lowest possible level. The degree of decentralization varies according to kinds of work, the requirements of the job, and the capabilities of the officer in charge.

Decentralization requires the assumption of responsibility by the officers in charge. It also requires that they be given the authority needed to carry out the work for which they are held responsible by their superiors. Decentralization is closely related to controls. The officer who delegates work to a subordinate cannot be relieved of final responsibility; therefore, controls, such as management reviews and reports, must be established to ensure acceptable performance.

Decentralization is attained by specific assignment of responsibility and delegation of authority. Delegations must always be definite, clear, and direct. Decentralization is essentially management accomplished by setting objectives and by establishing minimum controls for attaining them.

The Forest Service has always followed a policy of decentralization. Basic responsibilities and delegations of authority are included in the Manual. More specific delegations are made as needed by letter, position descriptions, organization charts, and similar documents.

4. *Span-of-control principle.* Forest Service programs have expanded greatly, both in size and complexity, over the years. Line officers have been confronted with the problem of how to retain full control over an expanding organization. It is generally recognized that a manager can properly supervise only three to seven subordinates if their work interlocks and requires coordination. This principle, if applied without modification to the organization, would lengthen the chain of command, particularly in the higher echelons. Instead, the Forest Service has resorted to the use of staff officers who assist line officers and thus keep the chain of command short and the personal workload

of line officers within reasonable limits. Under this system, the line establishes controlling policy and procedures, while the staff applies them. Under this concept, line officers discuss their local problems with responsible staff officers and, when necessary, with their line superior. Channels of communication are open both up and down the line. Line officers have final accountability for the application of established policies and procedures in their units, although many of their responsibilities must be delegated to their staff.

5. *Organization coordination principle.* The Chief strives for adequate coordination of actions originating at the Washington Office through regular and special staff meetings; officewide family group meetings; Regional Forester-Director and Washington officer meetings; and general management reviews. The same basic coordination techniques apply to the several organization echelons from top to bottom. Adequate coordination is essential to the harmonious functioning of any large organization, especially one so complex as the Forest Service.

6. *Territorial jurisdiction principle.* Under this principle, a single responsible officer administers all the resources and activities in a geographical area. An organization devoted to multiple-use land management must use this principle since the management of any one resource affects the management of others. Control of all activities by one person minimizes conflicts and provides coordination.

The Forest Service has adopted this principle as the basic framework of organization for the administration of the National Forests and the State-private forestry program. The research organization is set up according to the same principle with some necessary variations. The line organization (scalar principle) generally coincides with territorial jurisdictions.

Forest Service Organization and Delegation of Authority

The chart on the following page outlines the organization of the Forest Service.

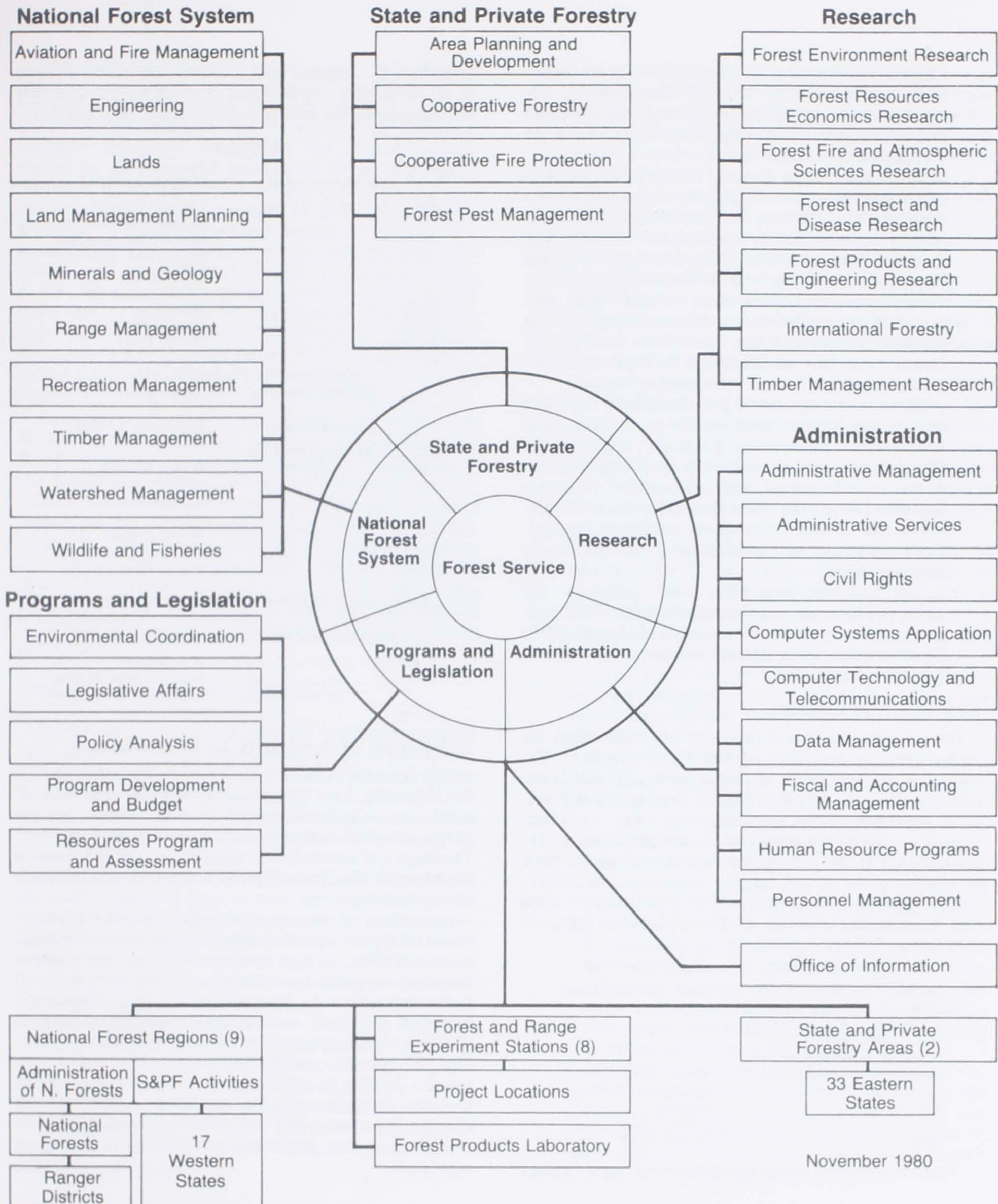
Line of Responsibility and Authority

The Forest Service is organized to fulfill its assigned responsibilities as previously outlined. Since forestry leadership is an overall responsibility in all segments of the organization, no specific line of authority is shown for it. For the three other areas of primary responsibility, the direct lines of responsibility and authority are defined below.

1. *National Forest System.* The line of authority for administering the National Forests runs from the

Organization Chart

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Chief to the Regional Forester to the Forest Supervisor to the District Ranger. Responsibility for results runs from the District Ranger to the Chief through the same links. These four officers head the line units as illustrated later.

2. *State and Private Forestry Cooperation.* The line of responsibility and authority for State and private forestry work is shorter. In the 17 Western States, it runs from the Chief to the Regional Forester. The Regional Forester and designated assistant Regional Foresters deal directly with the State forester. Forest Supervisors and District Rangers may work with State officers and private landowners on specifically assigned jobs. Generally, their State and private forestry activities are incidental to National Forest management and general information services.

The line of responsibility and authority for State and private forestry work in the Northeastern and Southeastern States runs from the Chief to the Directors of the Northeastern and Southeastern Areas. The Directors deal directly with the State foresters. As in the Western States, Forest Supervisors and District Rangers may work with State officers and private landowners on specifically assigned jobs.

3. *Research.* Responsibility and authority for research follow the line from the Chief to the Experiment Station and Forest Products Laboratory (FPL) Directors, to the assistant directors, then to the project leaders.

Organization Charts

Organization charts are prepared and maintained for each organizational unit in the Forest Service. The following explanations and charts show units and titles, relationships, and organization of the line units previously described. Since workload and other conditions vary, line units of the same level are seldom organized exactly alike. For that reason, the organization charts must be considered as typical, but not exact, representations.

The names of Washington office organizational units and the organizational title of the individual in charge of each are as follows:

<i>Organizational unit</i>	<i>Organizational title</i>
Office of the Chief	Chief, Associate Chief
Office of the Deputy Chief for Research, National Forest System, State and Private Forestry, Administration, Programs and Legislation	Deputy Chief, Associate Deputy Chief
Staff	Director
Group	Group Leader
Section	Section Head

There is presently no standard pattern for unit names

and titles by Regions and Stations below the division level. As existing organization charts are revised or new ones prepared, the following pattern will be standard:

REGIONS

<i>Organizational unit</i>	<i>Organizational title</i>
Regional Office	Regional Forester Deputy Regional Forester for Resource, Administration, & Private Forestry (Western Region)
Staff	Director
Group	Group Leader
Section	Section Head

EXPERIMENT STATIONS AND FOREST PRODUCTS LABORATORY

<i>Organizational unit</i>	<i>Organizational title</i>
Stations and Forest Products Laboratory	Station Director Deputy Station Director Assistant Station Director
Project	Project Leader
Group	Group Leader
Section	Section Head

AREA OFFICES—STATE AND PRIVATE FORESTRY

<i>Organizational unit</i>	<i>Organizational title</i>
Area Office	Area Director
Staff	Assistant Area Director Staff Director
Group	Group Leader

Delegation of Authority to Line Officers

The general policy of the Forest Service is that line officers usually have responsibility for and authority to administer all activities within the Forest Service geographical or subject-matter areas assigned to them. The degree of authority for specific actions is defined in the Manual. The line officer is responsible for the work of subordinates.

Exceptions to this general policy may be made in National Forest administration for nonresource-management activities, such as road construction and maintenance, work done by contract, and work in technical fields for which the line officer is not professionally qualified. The land and resource management responsibility and authority are not taken from a line officer except for specific, justifiable reasons. The action with reasons therefor must be stated in writing and is subject to review by the next higher line officer. Generally, such changes in responsibility and authority are of short duration, lasting until the condition causing the change is corrected.

Deviations from the general policy exist in the research organization, where special qualifications for certain types of work are required. For example, the Director of the Forest Products Laboratory conducts forest-products research applicable throughout the Nation without regard to the territorial boundaries of the Experiment Stations. Also, some types of specialized research are conducted directly by the staff of Experiment Station Directors. For efficiency and economy, much fundamental research is conducted by specially qualified individuals and groups without regard to territorial areas. Better coordination can be achieved by organizing such work directly under the Station Director. For these reasons, the Research Stations are excepted from the general policy of territorial organization. They are organized by territories or by functions or by a combination of both, depending on the needs of the research programs.

Delegations of authority for specific actions, generally in the fields of operation, personnel management, and fiscal control may be made to individuals subordinate to the line officer. The line officer may not overrule or circumscribe the actions of the subordinate in the exercise of such authority. The line officer may appeal the subordinate's decision through administrative channels to the appropriate officer or agency from which the delegation comes. An example would be a classification action by a delegated officer. The officer must use his judgment and is the only person that can approve an action free of line influence.

Principles and Their Application

Delegation is a prime management essential in successfully administering a large decentralized organization. Efforts to delegate sometimes fail because forest officers do not understand what is involved or how to delegate without losing control. The following discussion is designed to help line officers delegate successfully, with minimum strain on themselves and their subordinates.

Delegation is the process whereby line officers divide the work assigned to them so that significant parts of the whole job may be effectively assigned to subordinates. Delegation is necessary to obtain acceptable performance at minimum cost. The decisions and actions necessary to conduct programs successfully require many forest officers to do various parts of the total job. The Chief must share the work and responsibility. Each line officer in turn must do the same. The real purpose of delegation is to give each member of the organization the freedom needed to do the work assigned. For this reason, Forest Service policy requires full delegation all along the line, including necessary provisions for guidance, coordination, and control functions. Delegation includes the following elements:

1. *Responsibility.* The responsibilities of line officers include all the duties assigned to their organizational units. Line officers share work responsibilities with subordinates. This has to be done wisely and in a manner designed to encourage employees to do their best.

In a large decentralized organization, responsibility can and must be delegated. Full acceptance of delegation by a subordinate officer is of equal importance, for delegation is a two-way process embodying willingness and ability of both superior and subordinate. Delegation sometimes fails because subordinates do not wholly understand what it includes or because they are unprepared or unwilling to accept full responsibility.

2. *Authority.* Authority is the power needed to do the work delegated or to cause it to be done. The term "delegation of authority" is used so frequently that the full meaning is sometimes forgotten. Proper delegation of authority is one of the sure indicators of effective teamwork. It is one of the best ways to give employees an opportunity to contribute according to their abilities.

Every delegation of responsibility should be accompanied by a commensurate delegation of authority. Ordinarily, this delegated authority is somewhat less than that of the superior making the delegation. It must, however, be sufficient to get the work done. Invariably, it includes authority to prepare plans for the work, to recruit or request necessary personnel, to procure or requisition supplies and equipment, and to exercise normal supervision and control.

This authority is line authority or position authority. In addition, there are two other kinds of authority that govern or influence Forest Service work:

a. *Legal authority.* Legal authority is fixed by law or regulation. This authority may not be changed, augmented, or diminished by Forest Service administrative action. It is binding on all employees and prepares the way for administrative action.

b. *Authority of knowledge.* Some officers have authority because of their knowledge of a given subject or activity. When senior officers really know a particular subject, they frequently influence action even though line authority for it may be vested elsewhere in the organization.

3. *Accountability.* The third and last essential element of delegation is accountability. This is the obligation to exercise the delegated authority and responsibility to accomplish an assigned quota of work. Accomplishment must be in accordance with policies, standards, and approved plans.

How Delegation Is Accomplished

To ensure reasonable uniformity throughout a decentralized organization the chief must establish normal delegations for each regular line position. This is accomplished by appropriate delegations as explained in the Manual. The Manual is designed so that delegations are set forth for each program, function, and job together with essential policy and procedural instructions.

Subordinate line officers, in turn, must carefully consider the normal delegations, established by the Chief, that apply to them. Since organizations are made up of people of varying capabilities, line officers are authorized to modify normal delegations to achieve acceptable performance. This must be done in writing. Any normal delegation modified by a subordinate line officer returns to normal as soon as the local situation that caused the deviation is corrected.

To ensure full understanding of the responsibilities assigned to each individual and each organizational unit, Forest Service policy requires the preparation of unit organization charts and statements and the inclusion of principal responsibilities in the job description for each position.

Unlike the first two elements—responsibility and authority—the third element, accountability, cannot be delegated. Officers who accept delegated responsibility and commensurate authority must stand ready to report and answer for the success or failure of the work entrusted to them. For example, District Rangers have delegated responsibility and authority for most of the work that is done on the district. They alone are accountable to the Forest Supervisor for work performance on the district. The Forest Supervisor, in turn, is fully accountable to the Regional Forester for responsibilities entrusted, through delegation, to the forest level. Accountability may not be shared with a subordinate. A subordinate, however, may be held accountable if he has been delegated responsibility with commensurate authority.

Reluctance to Delegate

There are several reasons why forest officers fail or are reluctant to delegate properly. Such reasons must be understood and overcome before Forest Service delegation policy can be fully applied.

The delegations of responsibility made in this manner are still only on paper; they are not necessarily in the minds of the officers who must share these responsibilities and those who must do the work. Neither does this process necessarily delegate commensurate authority for delegated responsibilities or establish clear accountability for them. Clear understanding of these very necessary actions is obtained by including them in operating plans and in supervisory and administrative practices.

Delegation Guides

1. *Chief.* The Chief and Deputy Chiefs confine their efforts largely to major policy formulation, program direction, major plans and agreements, and to reviewing and approving key personnel and project decisions. The Washington Office staffs work with the Regions and Experiment Stations within the framework established by policy for the activities or functions assigned to them.

Based on these organizational procedures, the principal responsibilities of the Washington Office are:

- a. National leadership in the fields of forest conservation and forest or mountain watershed management.
- b. Forest Servicewide guidance and coordination for all programs, activities, and functions.
- c. Formulation and application of performance controls to be used internally for management purposes and externally to demonstrate adherence to legal and administration policy requirements established by higher authority.
- d. Expert advice and assistance to Regions and Experiment Stations on difficult or unusual problems.

With minor exceptions, the responsibilities retained by the Chief for the Washington Office are directly associated with these responsibilities. The rest of the total job is delegated to the field—research functions to Experiment Stations, State and private forestry cooperation to Regions or S&PF Areas, and National Forest functions to Regions, Forests, and Districts.

2. *Regional Forester, Experiment Station Director, and S&PF Area Director.* The responsibilities of a Regional Forester, a Station Director, and an Area Director are almost identical to those of the Chief for the Washington Office, except that their responsibilities are narrowed down to Region, Station, and Area boundaries and sharpened for local application.

Research work may be accomplished directly by staff members of the responsible Station or it may be delegated to a project leader reporting to the Station.

National Forest work is delegated largely to the Forests and Ranger Districts. Very little actual production work is assigned to regional staff officers. Certain specialized work that can best be done at a central point, such as mapmaking and the operation of field printing plants, is done by the regional office.

3. *Forest Supervisor.* A Forest Supervisor has overall responsibility at the Forest level in very much the same way as described for the Chief and for a Regional Forester at those levels. However, since

District Rangers do most of the work and conduct almost all National Forest business, a Forest Supervisor properly devotes much time to review and approval of program and project plans and to functional supervision designed to ensure compliance with Forest Service policy and procedural work standards. The Forest is the planning unit and the Range District is the executing unit.

Ranger District organizations ordinarily are not designed to conduct large nonrecurrent jobs or development work such as building roads, bridges, or other structures. These are usually projected out of the Forest Supervisor's office, and Ranger participation includes planning only.

4. *District Ranger.* The Ranger District organization is designed to conduct virtually all recurrent forest resource and protection programs and activities. Accordingly, normal delegations made by the Chief strive to place responsibility for resource management and forest protection program execution on the Range District. Either the Forest Supervisor's staff or the regional staff furnishes professional assistance to the Ranger when needed. This means that the Ranger is responsible for execution of plans developed on a Forest basis. The Ranger still assists in priorities, standards, and overall coordination, but is relieved of detailed planning requirements except operating plans.

When to Adjust Normal Delegations

Forest Service decisionmaking responsibilities require both managerial and professional competence. Hence, consideration must be given to the qualifications of subordinates before they are entrusted with final responsibility for management actions or important decisions.

New programs or jobs are assigned from time to time, or a specific area of an assigned function may require more intensive consideration. When this happens, the Chief may require specific Washington Office review and approval until experience has been gained by responsible field officers and appropriate policy and procedural guides have been prepared. A similar situation may occur in an Experiment Station, S&PF Area, a Region and a Forest, or a Forest and a Ranger District. Normal delegation is made as soon as experience has been gained and work competence demonstrated.

The tendency to withhold normal delegation until full competence has been demonstrated by the subordinate must not prevent adequate, gradual delegation. Central review and approval can easily be overdone.

Subordinates should be encouraged and assisted to gain necessary managerial and professional competence. One of the best ways to do this is to give them full responsibility and commensurate authority for the work and

hold them accountable for results. Safeguards can be established through functional supervision, during which the superior reviews the work and discusses results with the subordinate. Experience has demonstrated that field officers do a much better job and develop competence much more quickly when they are given full responsibility for the work. Consequently, central review and approval should be used sparingly and for critical situations, and then only when functional supervision cannot be used effectively.

"Acting"

In an organization as decentralized as the Forest Service, the heads of organizational units, both line and staff, are frequently unavailable for varying periods or a position becomes vacant because of a transfer or other reason. When such situations occur, the policy is to designate a subordinate to act for the head of the unit.

The practice of "acting" for the head of a unit provides for someone in authority to make decisions, sign mail, speak for his superior, and take prompt action as required; aids coordination; speeds action; and provides training for subordinates by periodically placing them in a position to make management decisions and take action normally taken by the superior officer.

Organization of Line Units

Within the Forest Service, the line units are the Washington Office, Regional Offices, Experiment Station Directors' Offices, the Forest Products Laboratory, S&PF Area Directors' Offices, Forest Supervisors' Offices, and Ranger District organizations.

Washington Office

The Chief of the Forest Service reports to the Secretary of Agriculture through the Assistant Secretary for Natural Resources and Environment. The Washington Office is organized into functional staffs headed by Directors who are specialists in their functional fields. Examples are the Timber Management Staff and Personnel Management Staff. The staffs are units established to provide specialized knowledge and advice to the Chief and to give technical direction and guidance to subordinate line officers.

To provide coordination and to reduce the span of control, staffs doing related work are grouped under the administration of a Deputy Chief. For example, all staffs concerned with the protection, development, management, and use of National Forests are responsible to the Deputy Chief report to the Deputy Chief for Research. Each of the following areas of work is directed by a Deputy Chief:

1. National Forest System.
2. Program Planning and Legislation.

3. Research.
4. Administration.
5. State and Private Forestry.

General delegations to Deputy Chiefs. Deputy Chiefs are responsible to the Chief for the administration of the functions assigned to them. They have authority delegated to them by the Chief to direct and control the activities of subordinate line officers; and, to this extent, they function as line officers. This delegation of line authority is limited to those phases of administration that do not involve:

1. Decisions or acts required by law or Secretary's regulations to be made or done by the Chief.
2. Important or new changes or variations from established policy or practice.
3. Relations with the Secretary's Office and other agencies or branches of Government at the national level, except as specifically authorized.

General delegations to Staff Directors. Directors are primarily staff specialists. They are technical experts in their functional activities. Through their Deputy Chiefs they establish, interpret, and enforce technical operating procedures, both within the limits of previously established up-to-date basic policies and instructions and for functions assigned to them.

Regional Offices

For the purpose of administering all activities except Research and the eastern S&PF areas, the Forest Service is organized into nine Regions. The Regions are identified by numbers 1 to 6 and 8 to 10, but are also referred to by names such as "Southern Region" and the "Pacific Northwest Region." The geographical boundaries of the Regions and the location of their headquarters are shown on page 3.

The regional office is the line unit established to administer the affairs of the Region. It consists of the Regional Forester and personnel assigned to the office. Regional offices are organized into three (two in the East) deputy regional forester areas, which are Resources, State and Private Forestry (not in the Eastern Regions), and Administration. Each deputy regional forester area is organized into functional staffs headed by staff directors who are specialized in their functional fields. The number of staffs and the grouping of their functions vary according to workloads and technical requirements. For example, the functions of operation and personnel management may be combined in a Region with a relatively light workload in each, while in another Region, a separate staff may be established for each function because of a heavy workload or difficult problems.

Staffs may be organized by groups and then sections as necessary. A typical regional office organization is shown on page 15.

General delegations to Regional Foresters. The Regional Forester is the line officer responsible to the Chief for the administration of all Forest Service activities in the Region except Research and S&PF in the East.

Authority commensurate with this responsibility is delegated by the Chief. This includes direction and control of all personnel assigned to the Region. The degree of the Regional Forester's responsibility and authority for specific actions and decisions is defined in the Forest Service Manual and other components of the directives system.

General delegations to deputy regional foresters. Deputy regional foresters are responsible to the Regional Forester for the administration of the function assigned to them. They are line officers with authority to direct and control the activities of subordinate line and staff officers.

Overlaps or conflicts in responsibility and authority between staffs are resolved by local supplements to the directives system. Any expansion of or limitation on the general delegation of authority and responsibility defined above is similarly published for the guidance of subordinate line officers.

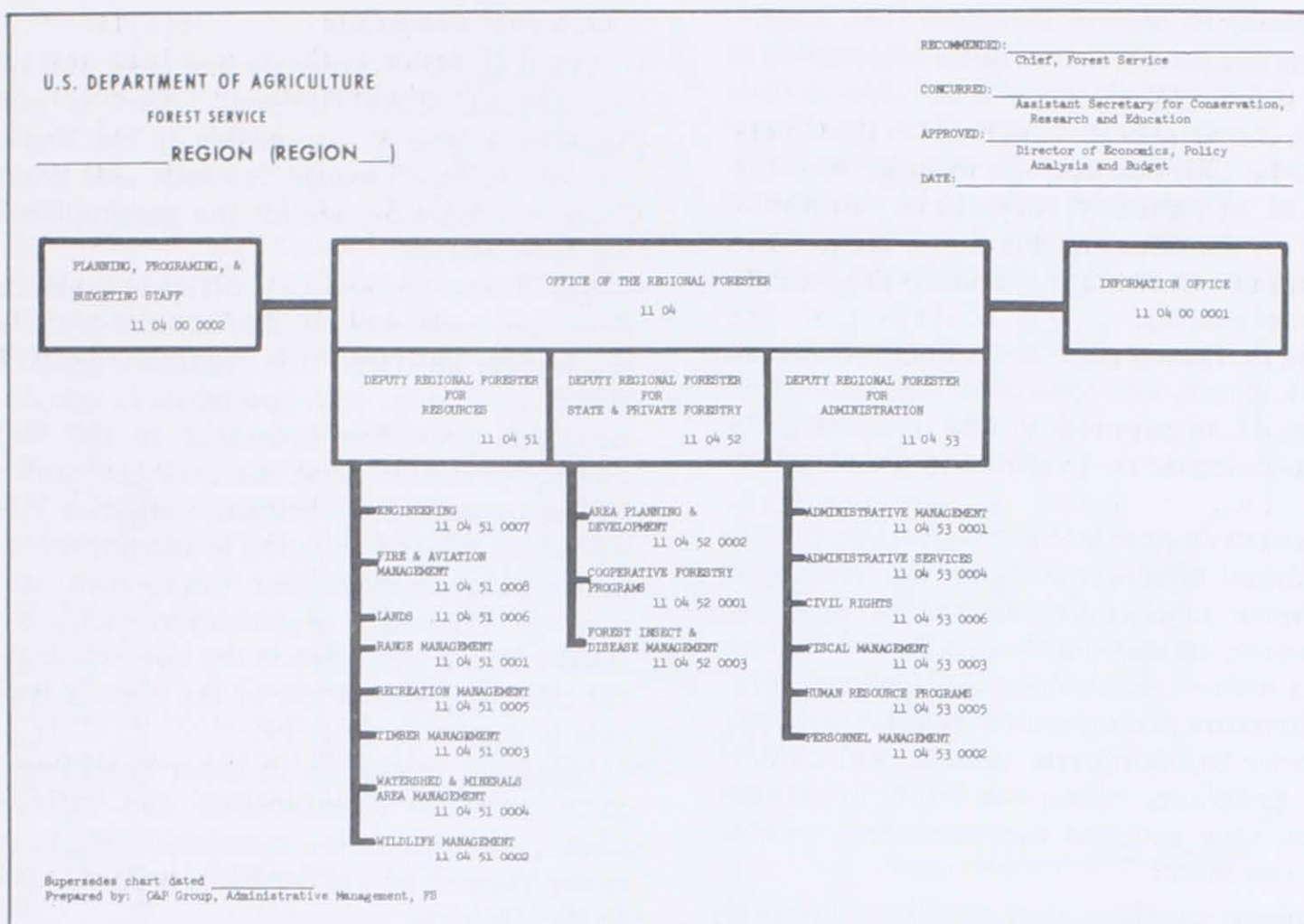
Special projects. Deviations from the usual pattern of organization are sometimes necessary. Specialized requirements may dictate that field units report directly to the Regional Forester. When this is done, the relationship between the unit and the regional office is similar to that of the National Forest and regional office. In some cases, field units established for special purposes report directly to the deputy regional forester who functions as the line officer responsible to the Regional Forester. Whenever special projects are set up, the relationship to the basic organization is described in local supplements to the Manual.

Experiment Stations and Forest Products Laboratory

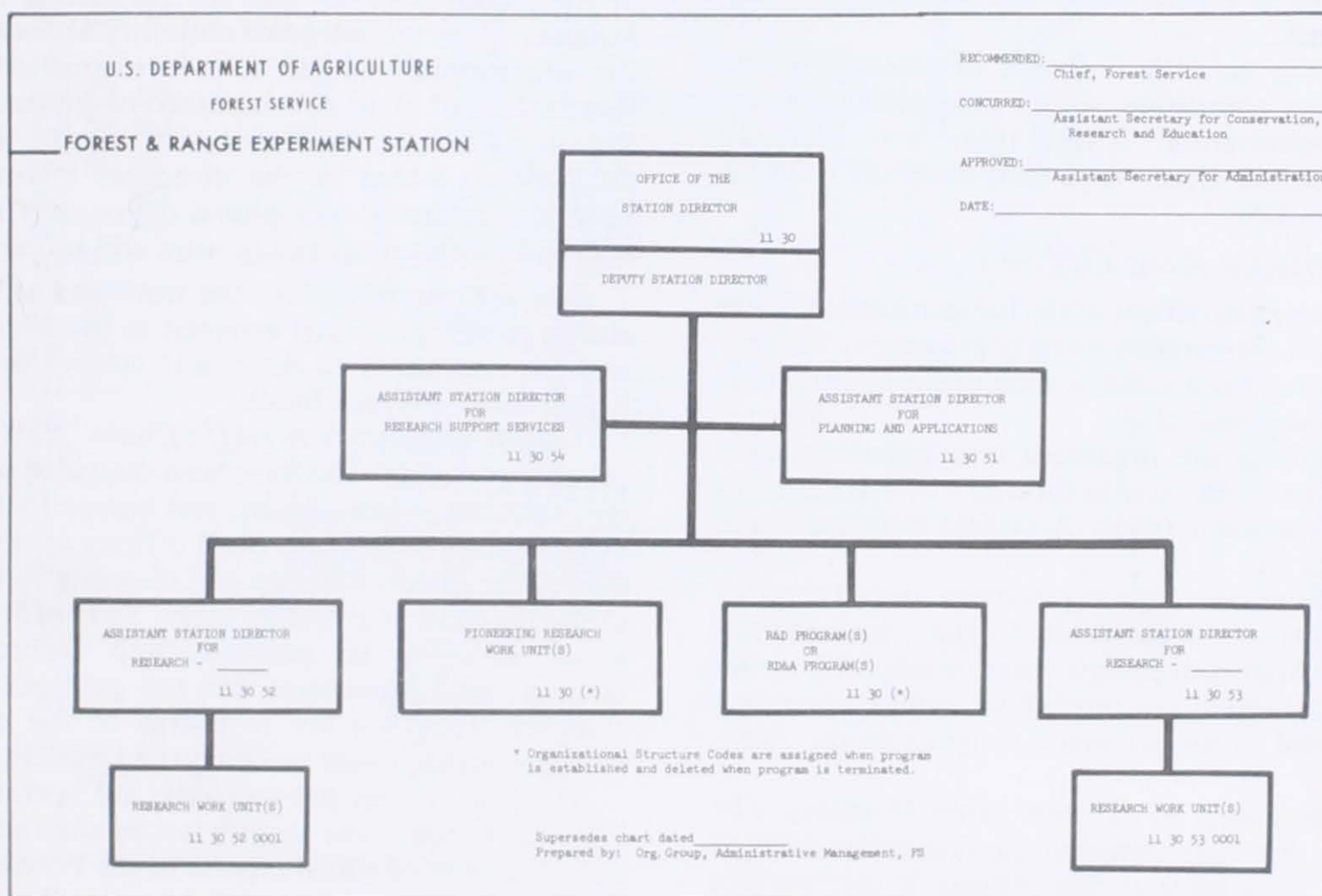
There are eight Forest Service Experiment Stations located in the continental United States. Research work, other than that specially assigned to the Forest Products Laboratory, within the geographic boundaries of each Station's territory is the responsibility of the Station Director. Research of national scope in forest products is conducted under the leadership of the director of the Forest Products Laboratory at Madison, Wisconsin. The boundaries and headquarters of each Experiment Station are shown on page 17.

Experiment Stations are organized by geographic subdivisions, each under the direction of an assistant director. Administrative functions and services are combined under an assistant director for support services. A typical organization is shown on page 15.

TYPICAL REGION CHART



TYPICAL STATION CHART



General delegations to Station Directors. The Experiment Station Directors are the line officers responsible to the Chief for the conduct of all research activities in their geographic areas, except those assigned to the Forest Products Laboratory. Responsibilities include the direction and control of all personnel assigned to the Station and its subunits. Technical guidance from Washington Office staff specialists to the Station divisions is channeled through the Directors.

The Director is delegated general authority from the Chief to supervise, direct, and control all assigned activities. The degree of responsibility and authority for specific actions and decisions is defined in the directives system.

General delegations to assistant directors. The Experiment Station assistant directors compose the immediate staff of the Director and furnish specialized technical advice and assistance. In addition to this staff function, they serve as line officers in carrying out research projects. Assistant directors are delegated general responsibility and authority to coordinate, direct, and control Station research programs within the limits of written Director's policies their assigned functions, and specific authorizations given them.

Questions involving overlaps of or conflicts in responsibility and authority between divisions are answered by local supplement to the Forest Service Manual. Likewise, any increase or limitation of the general authority described above is recorded for the guidance of concerned personnel.

Because of the specialized nature of research work, special tasks are sometimes set up independent of the usual line organization. These tasks are generally assigned to assistant directors or staff members working under their direction.

State and Private Area Offices

There are two Area offices in the Eastern United States to administer all cooperative forestry programs. The majority of the forest land in this section of the country is in State and private ownership.

The Area offices are organized into functional programs headed by assistant area directors who are specialists in their functional fields. A typical organization is shown on page 19.

General delegations to Area Directors. Area Directors are the line officers responsible to the Chief for the conduct of all State and private forestry activities within their Areas. Directors' responsibilities include the direction and control of all personnel assigned to the Areas and subunits.

General delegations to assistant Area Directors. The assistant area directors comprise the immediate staff of the Director. They serve as line officers in carrying out the cooperative programs for their assigned functions.

National Forests

The National Forests are line units and subdivisions of the Region. Each National Forest is under a Forest Supervisor who is responsible to the Regional Forester for all activities, except research and State and private forestry programs, within the geographical area of the National Forest.

The Forest Supervisor's office is organized to provide direction, coordination, and control of the work done on the Ranger Districts. It is organized generally on a functional staff basis, with specialists in one or more related functions providing assistance to the Supervisor. The number of staff officers and their assistants is determined by the resource management workload. Additional staff personnel may be assigned to the Supervisor's office for nonresource management work, such as project engineering. The staff organization includes the administrative officer who directs the nontechnical activities and the clerical organization of the unit. A typical organization is shown on page 19.

Nonstaff specialists in other than resource management activities (construction and maintenance supervisors, communication technicians, etc.) may be assigned to the Supervisor's office when needed to provide services to the Districts.

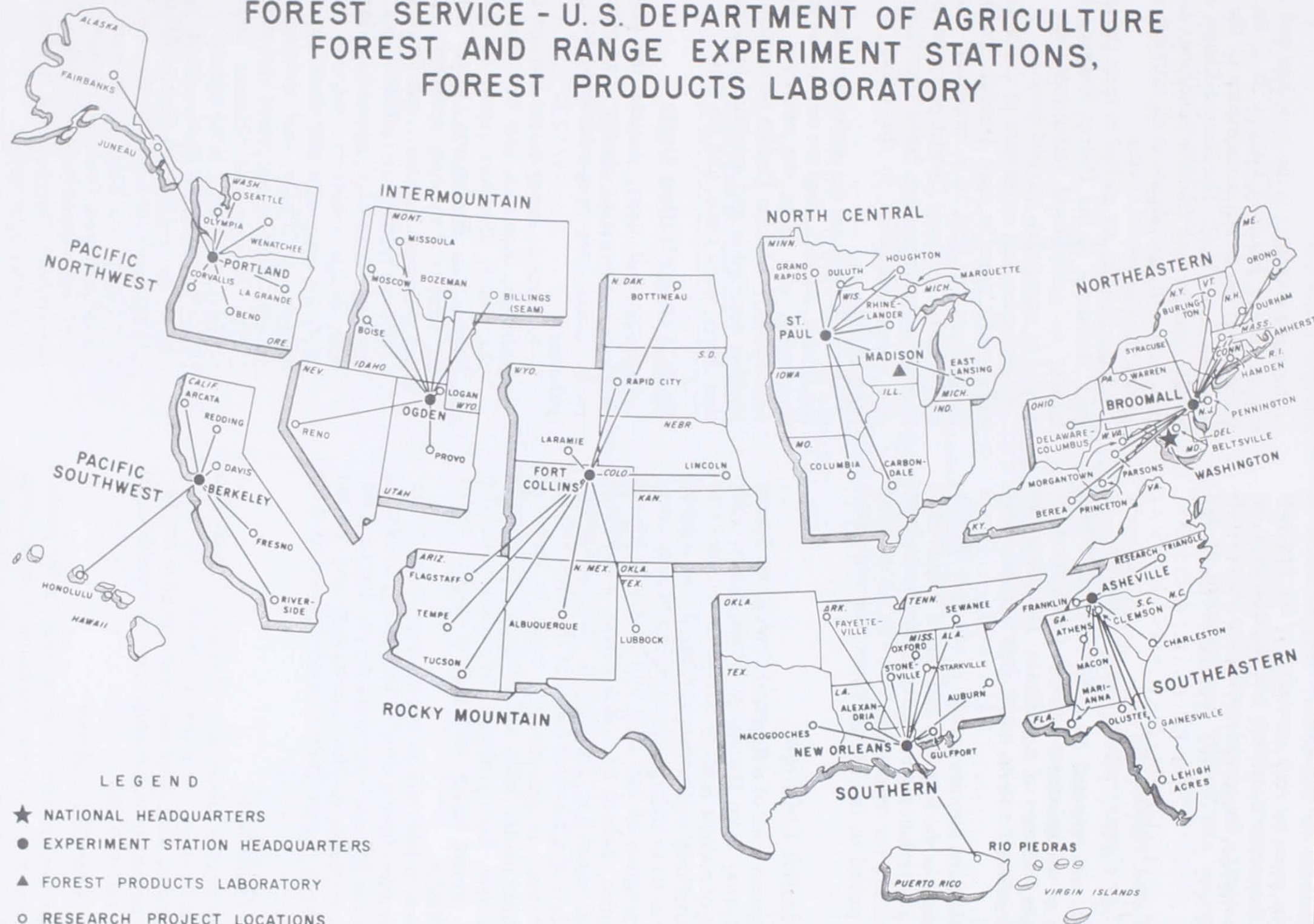
General delegations to Forest Supervisors. Forest Supervisors are responsible to the Regional Forester for the protection, development, and use of all the resources of the National Forest and for facilitating activities as assigned. They are delegated authority necessary to fulfill this responsibility subject to laws, regulations, policies, standards, and plans as established or transmitted by the Regional Forester; limitations on specific actions and decisions as stated in the directives system; and the authority delegated to regional office staff directors to establish technical operating rules and procedures.

They are responsible for the work and activities of all staff and line personnel assigned to the National Forest and have authority to direct and control their activities within the prescribed limits.

General delegations to staff officers. Staff officers are primary personnel who have been delegated some authority subject to policies, plans, and instructions established by the Forest Supervisor. Staff officers act for the Forest Supervisor in coordinating and directing forest activities in the functions assigned to them. Staff officers are delegated authority to prescribe and enforce technical methods and procedures for the guidance of District Rangers. They are not in charge of the execution of resource management work on the Districts.

Nurseries. Forest tree nurseries are operated on some National Forests. The nursery is a separate administrative unit, the head of which reports to the Forest Supervisor. Organizationally, it is parallel to the Ranger District.

FOREST SERVICE - U. S. DEPARTMENT OF AGRICULTURE FOREST AND RANGE EXPERIMENT STATIONS, FOREST PRODUCTS LABORATORY



Technical guidance to the nursery superintendent in charge may be given by staff specialists in the Regional and Forest Supervisor's offices, but responsibility for results and authority for administration are vested in the Forest Supervisor and nursery superintendent as line officers.

Civilian Conservation and Young Adult Conservation Corps Centers

The centers are operated on some National Forests under terms of an agreement between the Secretary of Labor and the Secretary of Agriculture. The centers are separate administrative units, which report to the Forest Supervisor.

Organizationally, they are parallel to a Ranger District. Staff specialists in the Regional and Forest Supervisor's Office may give technical guidance to the center director, but responsibility for results and authority for administration are vested in the Forest Supervisor and center director.

Other Research Locations

Many research units of a Regional Experiment Station are located away from the station headquarters. They may consist of a single four- or five-person project—the basic organizational subdivision in research—or a group of as many as six or eight projects totaling 30 to 40 scientists. The program of any such unit may lean heavily toward applied research or it may consist primarily of fundamental research of great depth. More commonly, however, there is a balanced blend of the basic and the applied. Project assignments are made in terms of specific subject matter fields, and geographic boundaries are unimportant. Each project is the responsibility of a designated project leader who reports directly to the assistant director.

Most research laboratories located away from the station headquarters have a chief of laboratory, designated to serve as the Director's representative at that location. The duties primarily involve coordination and are not line authority or responsibility over other personnel at the laboratory.

National Grasslands

These are units or subdivisions of Regions. Each unit is managed as all or part of a Ranger District. These units are administered with emphasis on cooperative management and participation by landowners and residents of local rural communities.

National Recreation Areas

These are units established to provide for the public's outdoor recreation and the conservation of scenic, scientific, and historic areas. Boundaries and management direction are specifically designated by statute.

Ranger Districts

The Ranger District is the basic line unit for administration of the National Forests. It is on the Ranger District that the actual management of the land and its resources is practiced. The District Ranger must be personally familiar with resource conditions and needs and must personally participate in all activities to the extent needed for managerial control.

Ranger Districts are staffed to meet the specific workload. Assistants to the District Ranger, ranging from laborer to professional technicians, are assigned as needed to accomplish planned work.

Organization and assignment of duties depend on the work to be done in each District. Purely functional assignments are held to a minimum. Multifunctional assignments to Ranger District personnel provide better training for advancement, better coordination of effort, and closer adherence to the policy of multiple-use management.

District Rangers are the professional land managers of the District. As such, they are responsible for protecting, developing, and using the resources. Authority and responsibilities of other District personnel are defined by position description and amplified by District organization charts, work plans, and job lists.

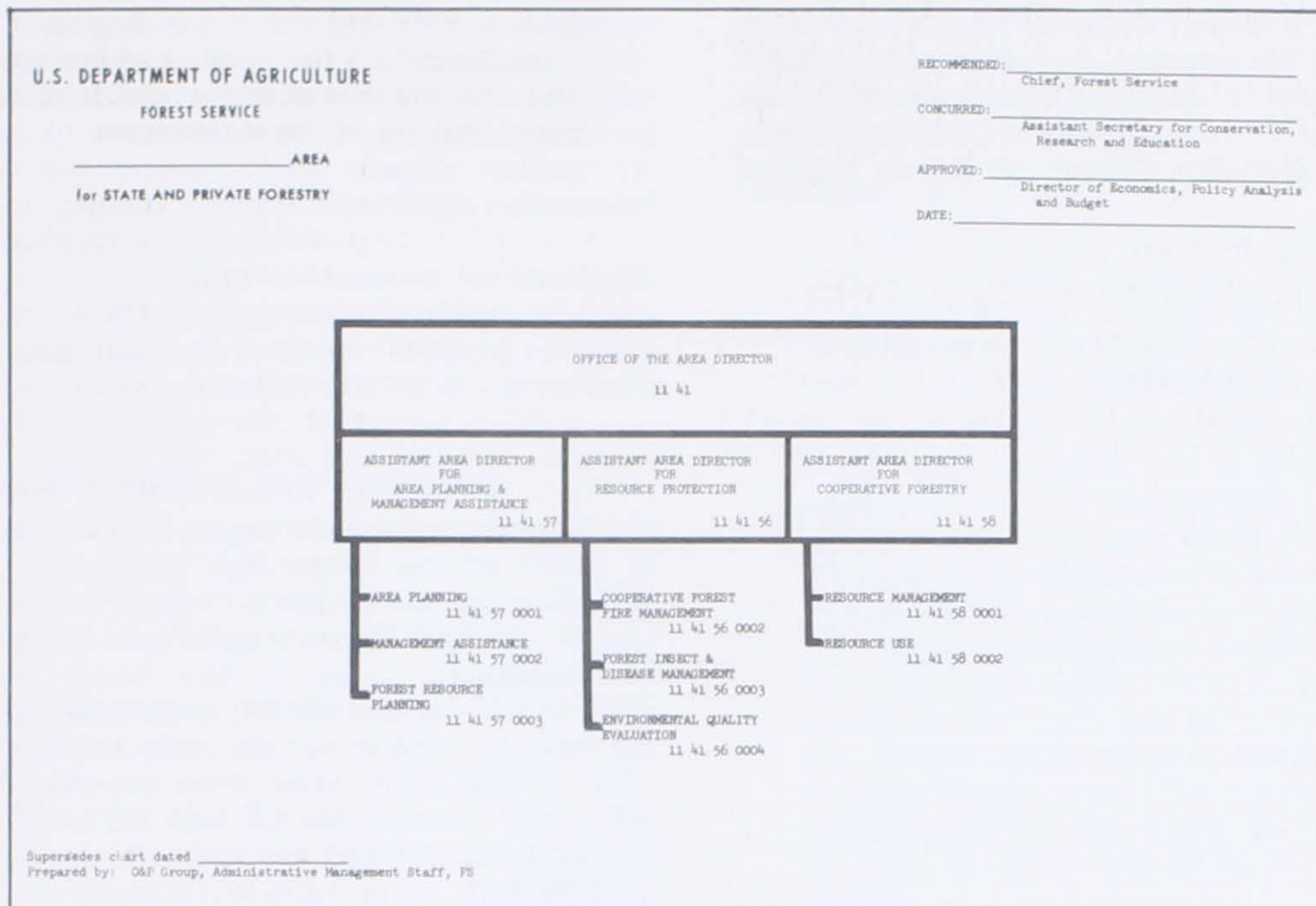
Special Organization Units

Organizational units, outside the normal line of authority and reporting directly to an officer designated by the Chief, have been established for certain special purposes.

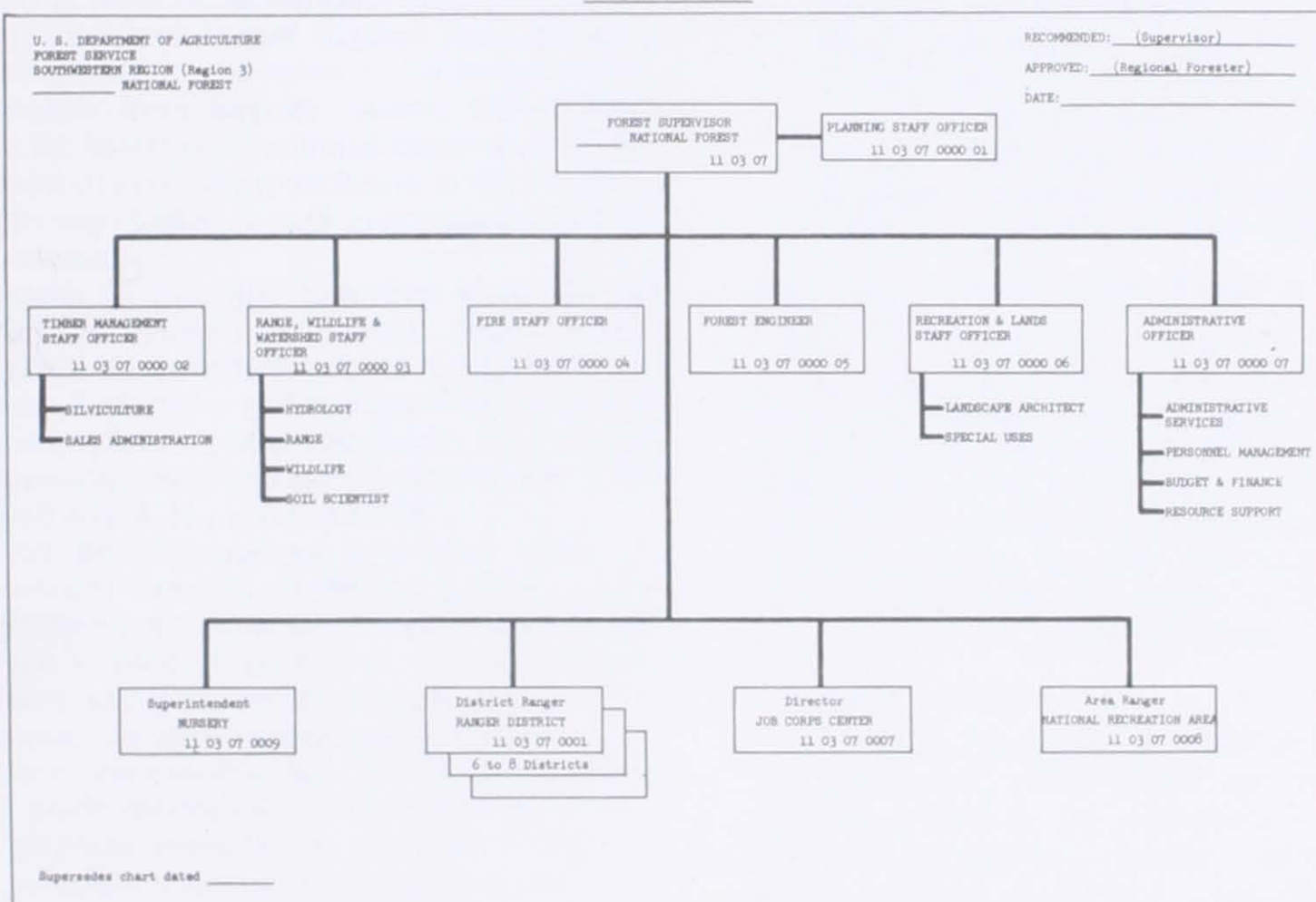
1. Equipment Development Centers are located at Missoula, Montana, and San Dimas, California. The Center Directors report to the Director of Engineering, Washington Office. The function of the Centers is to study operations, identify needs, and determine feasibility and potential benefits of equipment through development tests, trail use, and standardization of equipment and materials; to invent, design, construct, test, and formulate standards for equipment and materials; and to provide information, advice, and training materials and devices regarding equipment and materials.

2. The Management Sciences Staff, located at Berkeley, California, is the internal consultant to the Forest Service in the mathematical, social, administrative, and engineering sciences for the solution of management problems. The Director, Pacific Southwest Forest and Range Experiment Station, is the immediate administrative supervisor and the Deputy Chief for Administration carries basic program responsibility. Supplemental funding is provided by clients when appropriate.

TYPICAL AREA CHART



TYPICAL NATIONAL FOREST CHART
FUNCTIONAL ORGANIZATION



3. State and Private Forestry multiregional specialists report to Deputy Regional Foresters for State and Private Forestry, but receive technical guidance from pertinent Washington Office State and Private Forestry staffs. Work planning and activity are coordinated by specialists through the Deputy Regional

Forester with other Deputy Regional Foresters for State and Private Forestry in Regions 1 through 6. Their function is to provide a wide range of specialized knowledge in planning, development, management, and use of forest resources.

Chapter 4. Management

To efficiently carry out the responsibilities assigned to the Forest Service by the Secretary of Agriculture, activities are conducted in accordance with good management practices designed to ensure efficient, economical, and satisfactory performance. This chapter defines the management methods used and establishes policies and standards for their use.

All Forest Service work is done to the standards prescribed in the directives system. Standards are coordinated between functions to achieve balanced programs and are set up to be reasonably attainable within available financing.

Program Development and Budgeting

The Forest Service's program budgeting process is part of the Department of Agriculture and the Office of Management and Budget's (OMB) 5-year program budgeting process. It is an integral part of the Forest Service management model and planning, budgeting, and management information (PBMI) system. The program budget is a 5-year plan, but the number of years for which proposals are asked varies from year to year, depending upon the need for information. The major steps in Program Development and Budgeting are: (1) direction development, (2) program formulation, (3) analysis and selection, (4) presentation and justification, (5) budget implementation, and (6) feedback.

Data for planning are submitted upward by the originating units and must be based upon objectives achievable during the program budget targeted years. Program budget planning action is the initial step in budget formulation. Proposals from Regions, Areas, and Stations (R/A/S) are the bases for developing national proposals for Department of Agriculture inclusion in the Presidential budget through OMB. R/A/S proposals provide the basis for allocation.

The objective of program budgeting is to allocate Federal funds, manpower, and output targets among agency programs and objectives so as to best serve the public interest. Authorities and responsibilities in statutes and regulations place certain constraints on program budget preparation. Authority specifically includes OMB Circulars A-10 and A-11, and 6 AR 178.

Program budget proposals are developed within the context of national direction established in the long-term Resources Planning Act program, which is updated annually by the Chief's, Presidential, and Department policy guidelines and land management and resource constraints contained in land management plans.

National direction contains basic guidance provided by the Chief to guide development and program proposals. It includes planning assumptions, Secretary of Agriculture policy guidance, and specific management direction. National direction is updated annually and issued at the beginning of each planning cycle.

National program proposals require participation by managers and staff at all organizational levels. Program budgeting requires interaction and negotiation within and between organizational units.

Washington Office

1. *Chief.* The Chief approves national direction, program budgeting guidelines, procedures, and instructions. Budget proposals are submitted to the Department of Agriculture and through the Department to the Office of Management and Budget.

2. *Deputy Chiefs.* Deputy Chiefs do the following: (1) develop proposals for programs within their respective areas of responsibility, consistent with direction and procedures established by the Chief; (2) ensure that environmental, social, and economic factors are fully considered in developing proposals; (3) recommend changes in national direction, procedures, and total Forest Service program budget proposals to the Chief; and (4) coordinate proposals that involve commitments of manpower and money in other Deputy areas. The deputy areas are: National Forest Systems, Research, State and Private Forestry, Programs and Legislation, and Administration.

3. *Deputy Chief for Programs and Legislation.* In addition to the responsibilities in paragraph 2, the Deputy Chief for Programs and Legislation coordinates and provides leadership in the program budget process that results in budget formulation.

4. *Staff Directors.* Staff directors provide full staff support within their areas of responsibility for each Deputy Chief's responsibilities and make specific program proposal recommendations to Deputy Chiefs in developing national programs.

Regions, Stations, and Areas

Regional Foresters, Area Directors, and Station Directors provide policy and direction in accordance with the Chief's national direction and submit program proposals annually to the Washington Office to ensure that environmental, social, and economic factors are fully considered in the decisionmaking process. Decisions among Forest alternatives must be made to provide the closest match to the goods and objectives in the national and regional plans and annual direction.

National Forests

The Forest Supervisor provides policy and direction that is responsive to the Chief's and Regional Forester's direction, following the same procedures and considerations as the Regions, Stations, and Areas. National Forests prepare alternative program proposals from multiyear work plans that implement the Forest plan.

These alternatives are passed to the regional level.

FSM 1931 gives a step-by-step plan for the program budgeting process, showing input by Forests, Regions, Stations, Areas and other field units and the allocation steps from the top to the bottom.

Resource Element Structure

Forest Service activities have been grouped into Resources Planning Act (RPA) elements, each of which incorporates all development and management activities. Each element has the potential to display multiple program outputs, resulting from inputs of dollars, personnel, and equipment. The element structure enables program development with management-by-objectives principles, and the result should be a workable program with well-defined objectives. Planning in this manner also allows for orderly presentation of alternative goals for forest and rangeland resources of the United States affected by the Forest Service program.

All deputy areas contribute toward achieving the goals of the various elements and the program as a whole. The National Forest System (NFS) provides many of the products derived from these elements and exemplifies the multiple-use principle; State and Private Forestry (S&PF) carries these principles to other public and private landowners; Research continually provides new knowledge and techniques to refine and improve renewable resource management; Administration develops the link between natural and human resources and also deals with the protection and safety of forest users. Administration, with Programs and Legislation (P&L), provides procedures to reach the total program goal.

Organization and Position Management

Organization is the process of arranging work in interdependent parts, each having a relation to the whole. It includes establishing individual positions, grouping positions into operating units, and filling the positions in accordance with sound principles of organization alignment, position management, utilization of personnel, and workload distribution. Position management, as practiced in the Forest Service, is the organizing of work among positions to achieve the greatest productivity consistent with the principles governing organization and position structure.

Forest Service organization and position management objectives are to:

1. Organize the work to maintain an adequate degree of decentralized responsibility and authority.
2. Divide the work into segments small enough to ensure effective resource management, but large enough to provide efficiency and economy of operation.
3. Have all work done to acceptable standards of quality and quantity.

4. Distribute workloads equitably among people and units.

5. Maintain effective control of all activities by the person or persons responsible.

6. Provide for multiple-use management. To attain these objectives, the Forest Service has developed and implemented policies, practices, and procedures to guide the organization and position management process.

Dynamics of Organization

The basic structure of an organization, such as the line and staff framework of the Forest Service, may remain sound and usable for many years because the basic mission does not change; however, conditions that influence the organizational framework do change frequently. The amount of work, the funds available, the complexity of the work, the means and tools provided, and many other factors determine the number and kinds of people needed and the way they should be organized. Therefore, the organization must be periodically adjusted to meet changing needs and conditions.

The Forest Service organization is maintained to meet current work requirements. Approved scientific management methods and techniques are used to determine proper organization and position structures. Organization conforms to the basic line structure, and delegations of responsibility and authority are prescribed in the Manual. The following sections point up major factors to be considered in making organizational changes:

1. *Review of present and anticipated programs.* New programs are instituted, old ones are terminated, and continuing ones change in direction or emphasis. Changes in existing programs can generally be determined in advance, and new programs and requirements can often be foreseen. Program changes may or may not require adjustments in organization and assignments; however, it is essential that programs be constantly reviewed to anticipate needed changes in organization. The same principle applies to major changes in methods and procedures.

2. *Budgets and financing.* Moneys appropriated or allocated for Forest Service work vary from year to year, and budgets must be set up within the limits of available funds and in accordance with authorized purposes of expenditure. The financial situation may also change during the fiscal year for reasons beyond the control of the administrator. Whenever there is an immediate or anticipated significant change in available funds, a review of organization is needed.

3. *Personnel adjustments.* Changes in organization demanded by changes in programs, workloads, finances, procedures, or other reasons always require some personnel adjustments. These range from

reassignments to separations due to a reduction in force. Necessary personnel adjustments are made whenever changes in organization occur.

Staffing

The assignment of duties, responsibilities, and authorities to individuals or groups is an important part of the organization and position management process. The amount and kinds of work to be done and the manner in which people are assembled determine the numbers of people needed and the qualifications they must have.

The composition and number of positions established are governed by the needs of the work as determined by analysis and application of sound position management principles and techniques. Supervisory officers must justify the need for each position and must also see that responsibility and authority assigned to one position are not duplicated in another unless clearly required. For all positions, organization, work, and position requirements are determined and approved before classification action is taken.

Once the duties and responsibilities of a position and its place in the organization have been defined, it is established and classified in accordance with the provisions of the Classification Act of 1923, as amended, and its implementing regulations and procedures.

The Forest Service strives to staff its organization with qualified people, assigned to positions for which they are best suited by education, training, and temperament. Basic qualifications for positions established by the Office of Personnel Management are supplemented as needed to fit specific Forest Service requirements. The policy of promotion from within the organization is adhered to and is supported by training and development programs designed to maintain an adequate pool of people qualified for more important positions. Selection and assignment of personnel are governed by position requirements.

Direction

Effective supervision is essential to successful management. Good supervisors can, and usually do, achieve adequate-to-good production even though they may not use contemporary techniques. However, modern management practices permit better performances, and the good supervisor takes full advantage of them.

The Forest Service strives to make the organization an effective and dynamic entity characterized by vigor of action, a spirit of cooperative teamwork, and pride of accomplishment. Under these conditions employees are happy, relaxed, and eager to further the objectives of their organization. Unfortunately, this goal is not easily achieved, nor can it be reached by applying any set formula. It can be attained only when competent super-

visors continuously supply their units with proper guidance, coordination, and control.

A well-supervised organization has all or most of the following characteristics:

1. Its members have a good understanding of total agency responsibilities and objectives, of each individual's place in the scheme of things, and of what they personally are expected to contribute.
2. Each organizational unit and each member of it has adequate delegated responsibility with commensurate authority for assigned work, together with fully understood and accepted accountability for results.
3. Group participation and teamwork are the rule rather than the exception.
4. Morale is high. Employees are proud of their organization and they are willing to contribute more than their fair share so that reasonable performance objectives will be attained or exceeded.
5. Decisionmaking is shared whenever possible by the officer delegated responsibility for the problem or action requiring attention.
6. Production is high and quality of work is good.
7. Equipment is reasonably adequate and is maintained in first-class working condition.
8. Individuals present a neat, businesslike appearance.
9. Work habits are orderly and effective and include inherently safe work practices.

In these day-to-day activities, good supervisors:

1. Treat employees as important, self-respecting human beings, instead of cogs in a machine. The far-reaching and difficult objectives of the Forest Service can be successfully accomplished only if each member of the organization recognizes the importance of the job and knows that the supervisor appreciates the fact that it requires intelligent effort. When a secure human relationship exists between the supervisor and every member of the organization, a firm bond is established between the individual and the organization. This mutual confidence is productive and satisfying to both.
2. Encourage and assist employees to develop their natural aptitudes and improve their skills. Adequate development of the relationship discussed above permits the recognition of natural aptitudes. When these become known, assignments can be made more productively, thus helping employees increase their worth both to themselves and to the organization. Training and other opportunities for development, including selected work assignments, are proven ways to build a strong organization and to provide a reservoir of individuals ready for greater responsibilities.

3. Encourage group participation and teamwork in decisionmaking, program planning, and work planning. Employees automatically identify themselves with an organization that invites them to share, or even insists that they share, in management responsibilities. This feeling of belonging invariably results in pride of organization and in increased loyalty and enthusiasm.

4. Recognize the importance of informal organization arrangements, as well as the need for an adequate formal organization structure. Formal organization is necessary to ensure clear understanding of delegated responsibilities and, specifically, what each organizational unit is expected to do. Formal organization also provides for clearly understood assignments and responsibility. Informal organization permits individuals to work freely with one another so that knowledge and experience can be brought to bear on any given problem or task with the greatest possible dispatch and effectiveness. Informal relationships should be encouraged but the individuals who use them must clearly understand how and when they may be used and when actions must be taken or requests placed through the channels established by formal organization.

Decisionmaking

Currently, much attention is being devoted to decisionmaking, particularly to the application of scientific methods to problem solving. Decisionmaking is a rational, systematic process, and any line officer can master and use the essentials. The process follows a definite sequence of steps involving analysis and evaluation.

The procedure may not always result in the best possible answer, since judgment, too, is a factor in decisionmaking. In addition, many decisions involve the future—relatively unpredictable at best. However, application of the procedure improves long-term management decisions, and usually results in sound decisions for current actions.

Resource Management Decisions

Line officers make decisions for every management problem. Long-range decisions must be made and successfully carried out to ensure future generations a reasonable supply of timber products and other resources on the National Forests. Such decisions call for the best efforts of the Forest Service. The need for many of these decisions is recognized well in advance of program action. Each part must be carefully defined and analyzed and its impacts on all other parts and on related matters noted and emphasized.

Administrative Action Decisions

Line officers and many staff officers must make many

decisions to carry on their assigned work successfully. Time is usually important. Frequently, as in controlling a fire, the worst action is failure to act promptly.

Forest Service objectives for decisionmaking are an important part of the procedure. They are to obtain reasonably consistent management decisions from numerous field officers operating under a policy of decentralized administration for diverse and often complex forest conservation problems and practices and to obtain necessary and prompt management decisions from the responsible line officer.

Forest Service policies for decisionmaking are:

1. Management decisions are based on the guides contained in the Manual, modified by judgment and local conditions.
2. Management decisions must be made promptly so that approved programs and projects can be carried forward efficiently and rapidly.
3. Local decisions are made locally by the responsible line officer. If the Manual, together with local resources and operating plans, does not provide adequate guidance for a sound decision, advice should be obtained from a higher line source, but the decisions should be made by the responsible officer.

A clear definition of the problem requiring a decision includes the internal parts of the problem; their relation to associated activities; and the human factors, both inside and outside the Forest Service. To understand the problem, one should describe it, identify its parts, establish the relationships of the parts with one another and with associated activities, establish and clarify related management objectives, and establish the human factors associated with the problem.

1. *Determine possible solutions.* Usually there are several solutions, and determining the best one is often difficult. Problem solvers or decisionmakers are subject to prejudice, bias, and preconceived ideas. The best way to guard against these ever-present pitfalls is to list carefully all possible solutions. The risks, the pros and cons, and the chances of success should be developed and listed for each possible solution.
2. *Make decision.* Select the solution that will most nearly attain the desired management objective and that takes the least risk.
3. *Prepare action plan.* Prepare an action plan for the decision so that the effort expended in making the decision will yield best results. Frequently, the decisionmaking process should include those persons who must carry out the decision. In addition, control procedures will need to be established when the action plan anticipates work over a considerable period of time or by a large number of people.

Hazards to be Avoided

The procedure outlined below is a rational one for decisionmaking. Its use results in better and faster decisions arrived at with less strain on the decisionmaker. It does not remove all risk from decisionmaking; it provides for recognition of unavoidable risk. No formula or procedures can replace sound judgment, but the following hazards should be avoided:

1. *Bad timing.* Many decisions are unduly delayed. Delay is usually a poor problem solver. Too often a responsible line officer postpones a decision without realizing that postponement itself is a decision, and sometimes the worst possible one. Do not decide too fast. Conditions may change and adversely affect the soundness of a decision. Determine when a decision is needed, then make it.
2. *Failure to identify the problem.* Frequently too much time is devoted to finding answers and too little to defining the problem.
3. *Failure to identify significant facts.* Frequently decisionmakers gather a multitude of facts—so many that they become thoroughly confused. Reject each fact that is not significant to the problem at hand.
4. *Action plans for decisions.* Decisions, in themselves, do not result in action. Most of them require an action plan. Actually a decision is not complete until an action plan for it has been prepared; for policy decisions, a control plan is also necessary.

Management Improvement Administration

Management is the art and science of getting things done. Management improvement seeks to get the right things done more effectively and economically. As used in the Forest Service, management improvement administration is an ongoing, all-inclusive effort to increase effectiveness and reduce costs of all Forest Service operations.

Management analysts provide much of the leadership required in carrying out management improvement projects.

A Management Science Staff (MaSS), located at the Pacific Southwest Station (PSW) analyzes and recommends solutions for broad Forest Servicewide administrative management problems. MaSS is strongly staffed to handle operations research and other problem areas of management sciences. Talent is available in industrial and administrative engineering, mathematical and statistical analysis, economics, and industrial psychology.

Employee Suggestion Program

All Forest Service employees are encouraged to participate in the Employee Suggestion Program (FSM 1340). Improving efficiency and effectiveness of Government and Forest Service action programs is a shared responsibility. Innovative suggestions submitted in this program

are welcomed and eagerly sought in the common endeavor to reduce costs.

Usable suggestions are approved at the first organizational level that has the necessary approval authority. Suggestions having Servicewide application are sent to the Washington Office for further review and action. Suggestions that cannot be approved because of lack of authority are also sent to the Washington Office, with appropriate recommendations, through channels, until approved or disapproved by an officer authorized to take such action. Line managers have the basic responsibility for operating an active and productive Employee Suggestion Program.

Patent Program

Forest Service employees on occasion make patentable inventions. The inventions must be recognized early (FSM 1345), and properly protected or they may be patented by private parties to the disadvantage of the Government and the public. It is the policy of the Forest Service to take prompt action to preserve the interests of the Government and the public.

Formal preparation of the patent application is the function of patent attorneys. Filing and prosecution of patent applications in the Patent and Trademark Office are functions of the Office of the General Counsel in the Department of Agriculture.

The Washington Office Administrative Management Staff is responsible for overall coordination and liaison among Regions, Stations, Areas, and the Office of the General Counsel.

Committee Management

Within the Department of Agriculture, the Secretary has designated a Department committee-management officer. At the same time, the Secretary has directed each agency to include committee management in its program and to designate an agency committee-management officer.

The Forest Service uses committees as needed, in accordance with the Department's committee-management regulations to facilitate its programs (FSM 1350).

Committees composed of Forest Service personnel are established at various levels of the agency to advise, coordinate, review, develop, and recommend policies and programs and to conduct activities.

Committees not composed wholly of Forest Service members are often established to advise on broad aspects of policies or programs of research, cooperation with State and private forestry agencies, and management of National Forests. Advisory committees provide a forum for discussing policy matters that may be raised by either the Forest Service or the committees. The committees help the Forest Service gauge the impact of its programs on forest owners and users and thereby improve its ser-

vice to them, as well as to the public. They also help the public to view, in proper perspective, Forest Service activities as they affect all groups of owners and users and the general public.

The function of these committees is solely advisory, and any determinations of action to be taken, based in whole or in part on such advice, are made by proper Forest Service officials.

Meetings Management

Forest Service employees, when properly authorized in accordance with FSM 1360, are encouraged to participate in both internal and external meetings within established priorities, available funds, and travel limitations. Meetings offer a valuable source of information, ideas, and problem-solving techniques for use in Forest Service programs. The primary objectives of meeting participation are to exchange ideas and discuss common problems; review progress in mutual fields of development and technology; strengthen Forest Service plans, programs, and activities; and stimulate outside interest and understanding of the Forest Service mission.

Systems Management

Automatic data processing (ADP) computers are important tools for accomplishing many phases of Forest Service work at almost all levels in the organization. Most production-oriented computer processing is done in connection with the management of the National Forests. The research activity units use computers primarily for one-time scientific and mathematical modeling applications. The cooperative State and private forestry activities make relatively little direct use of Forest Service computer facilities, but rather rely on the facilities of the agencies with which the cooperative programs are connected.

Systems management plays an important role in the accomplishment of the Forest Service mission. The computerized system represents the largest workload in the administration area. The national management of Forest Service computer processing is under the direction of the Associate Deputy Chief for Administration responsible for management systems. The framework for this management structure was developed by and established as a result of a Forest Servicewide analysis of the agency's management information system development problems.

The coordination and management of automated systems (computer applications and data base systems) are an important part of systems management. Development and improvement of systems are needed and encouraged in response to changes in legislation, program direction, and technical requirements. This work requires significant human and financial resources and must be managed to ensure that resulting systems are efficient and support Forest Service goals and objectives. To accom-

plish this, a systems management process was developed and implemented. The complete process is based on the automated systems life cycle and requires appropriate management action at each major milestone. Also, the National Automated Systems Management Plan is being assembled to coordinate development and implementation of national automated systems and to assign priorities.

• The bulk of Forest Service computer processing is being accomplished at a central computing center operated by the U.S. Department of Agriculture at Fort Collins, Colorado. The center is equipped with a large-scale computer, which is accessed from remote job entry batch terminals and several hundred interactive demand terminals. Additional computer processing requirements at the national level and many field offices are being met by a large variety of locally-sited computer hardware. As mini- and micro-computers, adequate telecommunications, and trained personnel become more available to field offices, there is a continuing migration from centralized to local computer facilities for data entry, storage, and processing.

The Forest Service, operating within the framework identified in the preceding paragraph, will continue to move in the direction of increased use of integrated data bases in distributed computer processing. The term "distributed processing" or "distributed computing" covers a wide array of possible configurations and combinations of activities. The form that appears to be most suited to the Forest Service's organizational structure is described as hierarchical distributed processing. This form, involving the flow of information among and through all organizational levels, accommodates differing degrees of information detail needed at each organizational level.

At each organizational level, the Forest Service has recognized the need to disperse the skills associated with computer processing. The dispersion is required to ensure that each functional area staff not only is aware of its responsibilities in the automated systems area, but that it has the expertise to fulfill that responsibility. There is, therefore, a shift from a centralized ADP organization to a structure under which each functional staff area is responsible for managing the computer applications that it uses.

The automatic data processing support for the changing structure of the organization and the type of information flow identified above require both centralized and distributed facilities. A central facility is needed for processing nationally managed applications and very large major regional and local (Forest and Ranger Districts) applications, and it is used as an information hub for locating and accessing distributed data bases that support national level needs. Local facilities provide a communi-

cations link to the central site; enter and edit data to be submitted to the central site; and perform local services such as local applications, locating and accessing local data bases, and transforming data to a format required at other organizational levels. Expansion of the distributed processing network is being governed by a careful analysis of needs and the determination that workload requirements, skills, and telecommunications can be effectively blended in a cost-effective manner.

The linking of computer facilities at all levels of the Forest Service organization primarily involves National Forest System management activities. Research programs at the Forest and Range Experiment Stations and at the Forest Products Laboratory require extensive use of computers, but computer processing services are most often obtained from universities or other Government agencies having facilities primarily oriented to the processing of large volumes of scientific data. Similar conditions exist in connection with the Regional and Area cooperative State and private forestry programs computer processing requirements. In both of these activities, the principal involvement with the main Forest Service computing network is for exchange of bibliographical information and to report program accomplishment.

Law Enforcement

The Forest Service is primarily a land management agency with a law enforcement function. This function was first recognized in 1897 when Congress authorized the Secretary to make rules and regulations to regulate occupancy and use and to preserve the forest from destruction. In 1905, Congress authorized Forest Service employees to make arrests for the violation of the laws and regulations relating to the National Forests.

Today, the thread of law enforcement weaves throughout the National Forest System and is an integral part of its overall management. Certain employees have been authorized to perform law enforcement duties. These include criminal investigators, law enforcement officers, and certain other employees who engage in limited enforcement duties. Presently, approximately 3,500 Forest Service employees are authorized to perform law enforcement duties.

The basic concept of all law enforcement actions is to provide a service to the public by protection of their individual rights and interest in the National Forest Systems.

The objective of law enforcement is to develop and maintain a law enforcement program that will help ensure: (1) compliance with laws and regulations, (2) protection of the public and its property, (3) protection of Forest Service employees, and (4) protection of forest resources and property.

To fulfill the concept and objectives of the law enforcement program, the Forest Service will: (1) enforce Federal laws and regulations relating to the National Forest System; (2) cooperate with State and local enforcement agencies in the enforcement of all State and local laws on lands within the boundaries of any unit of the National Forest System; (3) aid States in all ways that are practical in the enforcement of the laws of the States concerning livestock, the prevention and extinguishing of forest fires, and the protection of fish and wildlife; and (4) aid other Federal agencies in the performance of their duties as they relate to the National Forest System.

All in all, law enforcement in the Forest Service consists of:

1. Prevention, detection, investigation, and reporting of violations of laws and regulations, including those actions leading to the initiation of and assistance in criminal and civil proceedings.
2. Cooperation with and aid to other law enforcement agencies in fulfilling their respective responsibilities.

State and local law enforcement agencies generally have the same authorities and responsibilities on National Forest System lands as they do elsewhere in their respective jurisdictions. However, it is not the intent of the Forest Service for State or local authorities to assume Forest Service law enforcement responsibilities, nor for the Forest Service to assume theirs.

It is Forest Service policy to provide maximum protection to the public and its property through cooperation with other law enforcement agencies. The Secretary of Agriculture is authorized to cooperate with any State or political subdivision in the enforcement and supervision of its laws within the boundary of any unit of the National Forest System. This includes authorization to reimburse the State or subdivision for certain expenses incurred in connection with these activities.

Chapter 5. Controls

Controls within the Forest Service are required by legislation. The Organic Administration Act of June 4, 1897, and acts contained in 16 U.S.C. 471 to 538 provide for the use of the controls needed to ensure proper administration and protection of the National Forests. Control measures are established to ensure that: (1) laws and regulatory measures are properly applied, (2) policies and procedures are being followed, and (3) organizational units work together with unified purposes using common goals and objectives. Control measures are necessary, not only to determine how well management is progressing, but also to develop alternative solutions to existing or potential problems.

To provide adequate administrative controls, periodic reviews will be conducted to ensure close coordination within the Forest Service and to ensure that standards, objectives, and directives are in harmony with existing laws, regulations, and program needs. The Forest Service also cooperates in the conduct of required reviews or audits by the Department of Agriculture or agencies other than the Forest Service.

All reviews or audits result in prompt and remedial action in response to disclosure of unacceptable conditions or opportunities to improve performance.

The Secretary of Agriculture has assigned certain functions to the Forest Service and has delegated authority to the Chief, Forest Service, to discharge those functions (7 CFR 2.60). All Forest Service officers are responsible for meeting quality and quantity standards prescribed for work assigned to them.

Basically, the control measures needed in such a decentralized organization as the Forest Service include assignment of program and work responsibilities and a system of checking to determine whether responsibilities are met within the authority delegated.

These basic controls are used to regulate and measure functional and administrative performances. They include responsibilities, standards, authorizations, and limitations; records audits; administrative reviews and investigations; and functional supervision. The Manual and handbook are the basic control documents. Administrative reviews and investigations are used only when warranted.

External controls are those established and exercised by higher authority outside the Forest Service. Certain staff agencies of the Government, such as the Office of Personnel Management, the General Services Administration, the General Accounting Office, and the Office of Management and Budget, have established external controls on departments within their authorized functional responsibilities.

Office of the Inspector General

On June 25, 1862, the Secretary of Agriculture established the Office of the Inspector General (OIG or

IG). The office reports directly to and is responsible solely to the Secretary.

OIG is a staff element providing: (1) audit and investigative services pertaining to the Department; all of its constituent organizations; and all parties performing under contracts, grants, or other agreements with the Department; (2) physical protection of the Secretary; and (3) guidelines for security of physical facilities and people. The IG has authority to inquire into all programs and administrative activities of the Department. These inquiries may be in the form of audits, investigations, or other appropriate reviews.

The IG is authorized to issue reports that include conclusions and recommendations for action. However, the IG will not direct changes in policies, procedures, or operations of Departmental agencies. The IG is authorized and directed to determine that their reports have been reviewed and properly acted upon.

The Office of IG, Audit

This office carries out the IG audit operation (except foreign audits) through a headquarters office and six regional offices. Audit officials provide liaison on audit matters, conduct necessary audits, release audit reports to management, follow agency action to ensure that audit reports have been properly acted upon, monitor the quality of audit reports, and coordinate activities with the OIG Foreign Operations Staff (FOS) and the Investigations Staff to include referring allegations and evidence of irregularities in U.S. Department of Agriculture programs and misconduct by Department employees.

Office of IG, Investigation

This office carries out IG investigation operations through a headquarters office and seven regional offices. Investigations officials provide operational and intelligence liaison on investigative matters, determine the need for investigative action, conduct needed investigations, prepare factual reports of investigative findings, refer reports for appropriate administrative or legal action, and follow agency action to ensure that investigation reports have been properly acted upon.

The OIG consults with the Forest Service in the formulation of annual Forest Service audit schedules. The Forest Service is free to suggest areas to be covered in these scheduled audits.

The primary objectives of the audit program are to: (1) provide management with a factual and impartial evaluation of performance, laws, regulations, procedures, and practices; and (2) assist management in achieving the most efficient, effective, and economical administration of operations.

Management Review System

Under the decentralized Forest Service line-staff or-

ganization, it is essential to maintain a system of control for line officers to determine to what extent delegated authorities are properly exercised and assigned responsibilities fulfilled. A basic means for this determination is the management review system (MRS).

This system is designed to assess: (1) quality of managerial processes used to achieve agreed-upon objectives, (2) work procedures and practices as they affect quantity and quality of results, (3) program coordination and cohesiveness of overall direction, and (4) relevance of policies and standards to changing conditions and emerging issues. Emphasis is placed on a strong line officer in the review process with essential staff involvement. It also stresses a group process to identify better ways to accomplish Forest Service objectives.

Objectives of the Forest Service MRS are to:

1. Determine how effectively and efficiently the Forest Service is fulfilling its assigned responsibilities.
2. Appraise performance under laws, regulations, policies, standards, and procedures governing Forest Service actions relating to planning, optimum development, use, and protection of forest resources.
3. Identify better ways to accomplish management objectives.
4. Emphasize the responsibilities of line officers for accountability, direction, and decisionmaking and of staff officers for providing input to planning and development of problem solving data. These factors are considered during annual performance evaluations.
5. Provide reviews frequently enough to meet management needs.
6. Emphasize an interdisciplinary and interprogram team approach to review.
7. Provide time limits for corrective action.
8. Relate reviews to the Forest Service directives system. Forest Service review of State organizations is not a part of the MRS.

To meet the need for control at various organizational levels, reviews have been divided into general management reviews (GMR), program reviews (PR), and activity reviews (AR). When used in conjunction with individual performance ratings and accomplishment reports, performance accountability is strengthened.

General Management Review

A GMR is an objective evaluation of the quality of overall Forest Service performance within the selected geographic or jurisdictional area of a particular unit. It covers all Forest Service activities and relationships, including program balance, managerial control accountability, internal and external cooperative relationships, civil rights, and equal employment opportunity.

Special effort will be made to identify major problems confronting the Forest Service, determine the reasons, and develop and appraise alternative ways of dealing with them.

The decision to conduct a GMR will be based on the counsel of line and staff officers, reports, feedback from external sources, changes in organizational structures, changes in key personnel, and elapsed time since the most recent GMR of the unit.

Program Review

As used in the review system, a program is defined as a group of closely related activities that together meet a specified objective. A PR is a review of all activities that contribute to the objectives or purposes of a single program or two or more programs within a deputy area. It may cover one or more levels of organization under the jurisdiction of the line officer for whom the review is conducted. The purpose is to determine if all activities that serve the program are coordinated, planned, and managed in a manner that achieves desired results. PR's should be performed by interdisciplinary teams.

Line officers decide, based on staff recommendations, the structure, scope, and approach for PR's. A line officer may decide to review activities of related programs to assess coordination among them.

Activity Review

As used in the review system, an activity is defined as any action or group of interdependent actions that have a specific purpose or result in either the completion of a discrete step in a larger process or a discrete product or service. An activity may be specialized and technical in nature. An AR is a review of one or more (but not all) closely related activities of one or more programs. The purpose is to determine if all actions of the activity are carried out in a desirable and beneficial manner. Activity reviews are generally narrow in scope and coverage, detailed and technical in character.

As with PR's, line officers or designed staff officers will decide the scope of the review—what will be reviewed, when, where, how, and by whom.

Frequency of Reviews

All GMR's and most program and activity reviews are made on an as-needed basis. This gives line officers the flexibility and responsibility to provide timely reviews based on individual determinations of need.

The nature or requirements of some activities, such as fiscal reviews of States, require fixed Service-wide frequency standards.

Followup Action and Certification

Followup on action plans is an essential link in com-

pleting the review process. Followup on reviews is complete when the line officer of the reviewed unit certifies that actions required in the action plan have been completed. Actions should be completed within 1 year of approval of the action plan.

Review File

An official review case file will be maintained in the of-

fice responsible for the review. As a minimum, the official file should contain the last GMR, program, or activity review reports conducted by or for the unit line officer. The action plan developed for a report and all certifications on the action items in a report will be attached to the review case file to which they refer.

Chapter 6. External Relations

The Forest Service has formal and informal external working relations at national and local levels.

Through authorized channels, the Forest Service works with Congress in legislative matters. In many activities, it works with other Federal agencies and establishments and with States and local government organizations. In addition, the Forest Service has working relationships of many kinds with nongovernmental groups such as business firms, trade associations, and civic groups.

Some of these working relationships are a result of laws; some follow from executive orders, department regulations, or contracts and cooperative agreements. In other cases, the working relationships develop from a mutual interest in related fields of activity.

The objective of the Forest Service is to conduct its external relations with businesslike efficiency, observing propriety in all situations, and conforming to policy instructions. Field officers have authority to deal with and correspond with field officers of other Federal agencies. No report need be made of such contacts unless the subject involves policy or matters beyond the scope of local authority and action.

Policy on Legislative Activities

As the leading forestry organization in the Nation and in the public interest, the Forest Service is expected to be aware of legislative needs for resource management. Forest officers in line positions share this responsibility for their respective administrative units. The policy is that all forest officers, particularly line officers, keep informed on legislative matters.

No office, including the Chief's office, is permitted to express approval, disapproval, or policy views on a legislative matter prior to the formulation of an official Department position. The Department, in turn, does not take an official position until its proposal has been reviewed and concurred in by the Office of Management and Budget (OMB). In any organization as large as the U.S. Department of Agriculture or the Forest Service, there are differences in viewpoint on policy. If each individual office were free to express its own views independently of the official views of the Department, the result obviously would be confusion, contradiction, and lack of teamwork.

Congressional Relations

Congressional bills can be drafted in the offices of the Legislative Council of the Senate or House; by professional staffs of the various Congressional committees; by executive agencies and departments; or occasionally by individual citizens, trade associations, and other groups for consideration and possible sponsorship by Members of Congress.

The Forest Service drafts bills only when requested to do so by a Member of Congress or when the Department

initiates proposed legislation or amendments to existing legislation through official channels for the consideration of Congress. Drafting proposed legislation is a function of the Washington Office only.

During each session of Congress, there are normally several hundred bills under consideration that would directly affect the Forest Service. Primary responsibility for initiating and correlating action on legislative matters is assigned to the Deputy Chief, Programs and Legislation. This position is also permanently assigned the "Acting Chief" responsibility for approving legislative actions. All staff directors, however, share responsibility for legislative matters in their particular fields. Staff directors assist in obtaining needed information and recommendations on legislative matters. They advise their respective Deputy Chiefs and the Deputy Chief, Programs and Legislation, of any significant information coming to them that affects legislative matters. Accordingly, as these matters arise, they are referred to the staff directors concerned for review and suggestions regarding specific action needed.

Personnel are promptly informed of action taken by Congress and other significant developments on legislative matters of interest to the Forest Service. The Legislative Affairs Staff is responsible for providing information on such matters to Regional Foresters and Station Directors, as well as to staff directors and the Office of Information in the Washington Office.

Relations With Independent Offices and Establishments

Some independent offices and establishments carrying on activities that directly or indirectly affect the Forest Service are the Federal Communications Commission, Federal Energy Regulatory Commission, General Services Administration, Tennessee Valley Authority, Office of Personnel Management, Office of Emergency Planning, and Office of Economic Opportunity.

Important interdepartmental relations of various kinds are carried on with several bureaus in the Departments of the Interior, Commerce, Defense, Justice, Health and Welfare, Treasury, State, Education, and Labor. Also there are cooperative activities with the Postal Service.

Several bureaus in the Department of Agriculture have interests in the forestry and conservation field. These include the Agricultural Stabilization and Conservation Service, Soil Conservation Service and Science & Education Administration.

Administrative Reviews

Regulation 36 CFR 211.9 (FSM 1023.4) provides that parties affected by administrative decisions of Forest Service line officers may seek review of such decisions. These regulations outline procedures to be followed in requesting and conducting reviews.

The objective of review procedures is to have the decision quickly and informally reviewed by higher levels within the Forest Service. Line officers ensure that affected parties are informed of the review regulations and procedures.

Any decision by a line officer is subject to review unless excluded under 36 CFR 211.19(b) (FSM 1023.4). If a staff decision is made and a dispute develops, the line officer confirms or reverses the staff decision as soon as practical.

Steps to follow are:

1. *Notice of appeal.* The aggrieved party presents a written statement of intent to appeal. The notice may be modified if such a change is confined to the initial issue. The reviewing officer will acknowledge receipt promptly.

2. *Oral presentation.* Requests for oral presentations must be in writing and filed with notice of appeal. The reviewing officer has 15 days to grant or deny the request. A record of the proceedings is made by the Forest Service and submitted to the appellant within 30 days. The appellant then has 15 days to comment on the record. A final decision will be made within 30 days.

Cooperative Relations

Cooperation, as used here, means outside, material assistance with an identifiable monetary value, in accomplishing an authorized activity of the Forest Service. It may further be defined as constituting a joint undertaking by the Forest Service with public and private organizations or individuals. Both parties take part in the project and are interested in the aims and benefits even though there may be a difference in the scope of that interest. Cooperators furnish assistance through funds, supplies, materials, or equipment furnished; services of their employees; use of laboratory, office, lands, equipment, or other facilities; or the actual prosecution of the work by the cooperator. The Forest Service may advance funds to or reimburse the cooperator for its share of the cost.

The Forest Service cooperates with and seeks the cooperation of non-Federal agencies, concerns, and individuals when it is in the public interest, administratively desirable, and currently authorized by law, directly or by implication. It likewise cooperates with other Federal agencies to the extent permitted by law, regulations, and administrative policies.

An important type of cooperative work is the voluntary contribution by public bodies, private concerns, or individuals of funds, material, labor, and other resources to Forest Service programs in which the contributors are

interested. Such programs include roads and trails, educational efforts, motion pictures, recreation areas, range improvements, and forest research. Forest officers work with local organizations and individuals to encourage this type of cooperation.

When cooperators perform work in which they may want to develop features of particular importance to themselves, some of this work may be outside of Forest Service programs. When engaged in cooperatively, the activities of both parties complement each other to avoid duplication and to achieve clarification of responsibilities, pooling of resources, improvement of program operations, and greater usefulness of combined programs.

Another type of work often referred to as cooperation is, in fact, a service. Some laws authorize the Forest Service to perform work for users of the National Forests or for others, at their expense, when it is in the public interest to do so. It is the policy to request owners, users, or others to perform such work or contract for it outside the Forest Service when such services are available and it is not essential that performance be so closely coordinated with similar National Forest work that it would be in the public interest to have the work done by the Forest Service. An example of cooperative work is the use of Knutson-Vandenburg (KV) funds for tree planting and tree improvement.

Accepted cooperation may be accomplished in the form of assistance or funds. Cooperative funds are deposited with the U.S. Treasury, take on the same characteristics, and are generally subject to the laws that apply to appropriated funds unless otherwise specified in the agreement.

Protection of Life and Property

As a land-managing agency of the Federal Government, the Forest Service has certain responsibilities in conjunction with the emergency protection of life and property within the National Forests.

Primarily, the protection of life and property and the maintenance of law and order within the territorial jurisdiction of any State are responsibilities of State and local authorities. Inside and outside the National Forests, as a humanitarian measure, the use of Forest Service personnel and equipment is authorized for the purpose of protecting life and property and for relieving suffering and distress arising from such causes as floods, earthquakes, fires, and snowstorms. Inside National Forest boundaries, the Forest Service has specific authority to give emergency assistance to persons lost or seriously ill or injured.

Chapter 7. Public Information and Involvement

Authorization

Forestry in the Department of Agriculture started primarily as a research and information activity when, in 1876, Congress authorized the appointment of a special agent to investigate and report on the forest situation in the United States. During the subsequent quarter century, the forestry movement was mostly a public information and education program, with fire protection one of the main field activities. As interest in conservation grew, informational and educational activities became increasingly important functions of the Forest Service. Success of the Forest Service program today depends not only on doing a worthy job of resource management and research, but also on keeping the public informed about Forest Service activities and how people can get involved in the decisionmaking processes.

The Organic Act establishing the Department of Agriculture states that "there shall be at the seat of Government a Department of Agriculture, the general design and duties of which shall be to diffuse among the people of the United States useful information on subjects connected with agriculture in the most general and comprehensive sense of the word. . . ."

The McSweeney-McNary Act of May 22, 1928, states ". . . That the Secretary of Agriculture is hereby authorized and directed to conduct such investigations, experiments, and tests as he may deem necessary under sections 2 and 10 inclusive, in order to determine the best methods of reforestation and of growing, managing, and utilizing timber, forage, and other forest products; of maintaining favorable conditions of water flow, and the prevention of erosion; of protecting timber and other forest growth from fires, insects, disease or other harmful agencies of obtaining the fullest and most effective use of forest lands; and to determine and promulgate the economic considerations which should underlie the establishment of sound policies for the management of forest land and the utilization of forest products: Provided, that in carrying out the provisions of this act the Secretary of Agriculture may cooperate with individuals and public and private agencies, organizations, and institutions. . . ."

The National Environmental Policy Act of 1969 directs all agencies of the Federal Government to make available to States, counties, municipalities, institutions, and individuals advice and information useful in restoring, maintaining, and enhancing the quality of environment.

The Forest and Rangeland Resources Planning Act of 1974, as amended by the National Forest Management Act of 1976, requires public participation in the development, review, and revision of land management plans and requires procedures to give Federal, State, and local governments and the public adequate notice and an op-

portunity to comment upon the formulation of standards, criteria, and guidelines applicable to Forest Service programs.

Objective and Policy

The objective of Forest Service information and involvement programs is to further optimize production of goods, services, and amenities in the most economic manner from the forest resources of the Nation, while at the same time considering the impact on the environment. As a public agency, the Forest Service is dedicated to reporting its activities to the people, as well as to informing them about forests, forestry, and related resource activities; to encouraging landowners and land managers to practice accepted forest and range management principles on forest lands under their jurisdiction; to communicating the latest proven techniques of wildland management and utilization to resource managers; and to helping the public better understand about forestry and multiple-use management.

Within the framework of Department policy, the Forest Service implements the public information and involvement objective by cooperating fully with representatives of all information media; building and maintaining good working relations with communities, counties, States, other public agencies, timberland owners, trade associations, and forest-product users; cooperating with all segments of the public, such as farm and labor groups, civic organizations, educators, youth groups, service organizations, minorities, conservation groups, and business and professional groups; and issuing and distributing news releases, reports, research papers, map folders, articles for periodicals, bulletins, and other publications.

Forest Service public information and involvement activities operate under five broad directives:

1. Statements bearing on Department policy, reports on the work of more than one agency, and reports on developments of national importance are submitted to the Department's Office of Governmental and Public Affairs for prior clearance. Material is channeled through the Forest Service Washington Office of Information.
2. Public criticism of any other bureau, department, or agency of the Federal Government; of any other public agency; or of any foreign country or official is avoided.
3. Information about new and significant developments in all phases of Forest Service work is freely available to the public. To guarantee that all information media have an equal opportunity to learn about these developments and especially to obtain results of scientific research and economic studies, such material is released through regularly established channels. This policy does not prohibit pro-

viding specific feature information to individual media representatives or organizations as long as it is in the public interest and the information is available to others on request.

4. Availability of sensitive information is governed by the Freedom of Information Act of 1967 and the Privacy Act of 1974.

5. Information to be released in the field on matters of major concern to the Washington Office, an Experiment Station, a Region, or some special project is referred to the parent office for prior approval or comment if there is any doubt of concurrence by that office.

Facts are the primary materials in Forest Service information activity. Views may be quoted if their source is made clear.

An information office has been established in each Region, State and Private Forestry Area, and Research Station and at the Forest Products Laboratory with a staff designed to meet the information needs of the public. In the Forest Supervisors' offices, public information officers or others are often assigned chief responsibility for the information activities along with other duties. Rangers, special project directors, and their staffs share information and involvement responsibilities in their units in accordance with approved plans.

Responsibilities

Fulfillment of the public information and involvement objective is the responsibility of each person in the Forest Service.

The Office of Information in Washington, D.C., plans and coordinates public Forest Service-wide information and involvement programs and provides guidance and leadership for attainment of the program objectives locally. This involves:

1. Thoroughly analyzing activities, programs, and policies to anticipate needs and to direct Service-wide informational efforts to channels that will best help discharge responsibilities.
2. Encouraging and assisting Regions, Stations, Areas, and the Forest Products Laboratory to make similar analyses of their respective activities, programs, and policies as a basis for their own informational and public involvement planning and action.
3. Keeping alert and abreast of all Forest Service activities, established and proposed, to anticipate possible public reactions. Deputy Chiefs and their respective staffs keep the Office of Information informed on all activities where information and involvement skills, techniques, and services may help to ensure a smooth, efficient operation.

4. Seeing that all personnel understand major objectives and policies of the Forest Service and are kept informed of its programs and activities and the progress of forestry generally.

5. Assisting the Personnel Management Staff and field units to train personnel in the use of information and involvement tools and techniques.

6. Reviewing the field units on a planned basis.

7. Preparing and issuing news releases, environmental and conservation teaching aids, films, color slides, publications, photographs, in-Service information, special-program material, and other information relating to forestry generally and the Forest Service in particular.

8. Keeping up with the latest information and involvement techniques and passing them on to field units.

Public information and involvement responsibilities of Regional Foresters, Experiment Station Directors, Area Directors, and the director of the Forest Products Laboratory closely parallel those of the Chief's office. For the Regions, Stations, and Areas, they generally apply on a local, rather than a Service-wide, basis and involve assistance and guidance to Forests and research units. The information and involvement responsibilities of the Forest Products Laboratory are nationwide.

Forest Supervisors and research project leaders are responsible for analyzing, planning, and executing information and involvement activities in their zones of responsibility. Personal attention to this phase of their jobs is of prime importance.

They must be alert to detect, anticipate, and correct misunderstandings before they become issues. Also, they must see that their staffs and field forces are kept informed about regional and national policies and activities and the latest research findings and that they are trained in the use of information and involvement methods and media.

The District Ranger is the principal public contact person of the Forest Service. The effective discharge of the District Ranger's information responsibilities requires tact, insight, and the ability to cooperate with others in official contacts. Specifically, Rangers study, stay abreast of, and are thoroughly familiar with the public relations status of the District. Rangers try to anticipate and localize problems. Also, they actively cooperate with press, radio, television, schools, user groups, farm, civic, service, youth, church, commercial, and industrial organizations; Federal, State, county, and municipal agencies and officials; and others in promoting an understanding of forestry. One of their most important information responsibilities is to keep well informed about the Forest Service and forestry in general so that they may help attain information and involvement objectives.

Planning

The following components of information and involvement planning are used as needed in a sequence that meets the conditions of a specific decisionmaking process:

1. *Identification of problem dimension.*
 - a. Identify groups or individuals affected by or having possible interest in the problem.
 - b. Assess degree of public concern and potential controversy.
 - c. Assess the extent of interest, such as local, county, State, regional, national, or international.
2. *Selection of involvement techniques.* Determine which methods will involve the public most constructively at specific stages of the decisionmaking process and are most likely to communicate, transmit, and obtain useful information.
3. *Information display and dissemination.* Provide concise and understandable information that keeps the public well informed throughout the planning effort, particularly at stages requiring public participation.
4. *Solicitation of public comment.* Obtain public views at appropriate stages of the decisionmaking process from affected or interested citizens, groups, organizations, and Government agencies.
5. *Analysis of public comment.* Summarize, organize, and document information received from the public for Forest Service evaluation.
6. *Evaluation.* Establish a visible and systematic process so that an evaluation is made of all public recommendations and rationale, and incorporate that evaluation with other pertinent decision criteria as appropriate steps of the decisionmaking process.
7. *Feedback to public.* Publicize agency response to public comment at appropriate stages of the planning effort.
8. *Development of alternatives.* Develop a range of alternatives for management and public review that is consistent with public response and the total information planning base.
9. *Final management decision.* Ensure that the decision and supportive rationale are appropriately and adequately explained and publicized.
10. *Evaluation of implementation and public acceptance.* Assess public reaction to the decision and provide necessary followup action.

Cooperative Information Programs and Activities

Educating the Public in Forest Fire Prevention

The nationwide Cooperative Forest Fire Prevention

campaign (CFFP) reaches millions of people and is conducted jointly by the Forest Service and State foresters, under sponsorship of the National Advertising Council, Inc. Using Smokey Bear as a symbol, forest fire prevention is presented to the public in posters, radio and television announcements, movies, press releases, feature articles, and exhibits. The campaign is carried out on an annual basis, with a new campaign each year.

A special campaign is conducted in the South each year to combat the large number of incendiary and debris-burning fires, which account for more than half of the South's fire problem.

Informing and Involving the Public

A growing public concern about environmental matters, along with steadily increasing demands on all forest resources, has stimulated public interest in securing more detailed information about and more involvement in matters relating to forest land management. To respond to this interest, the Forest Service sponsors several major activities that seek better public understanding of natural resource issues and environmental management. This makes it possible for more people to become more effectively involved in the agency decisionmaking process.

These include the Environmental Education Program, which places special emphasis on involving educators, resource people, and citizen groups in developing techniques and skills of investigating the environment, and the Inform and Involve Program, which is aimed at gaining increased public understanding and involvement in reaching decisions on natural resource matters and issues.

The Woodsy Owl Program

The Woodsy Owl Program is designed to help resource managers do a better job by making the public more aware of the problems and impacts of people on the environment. It is also designed to involve people in seeking solutions to environmental problems. The program is carried on as a multimedia campaign of which the primary target is young people between the ages of 6 and 14. The objective is to maintain and improve environmental quality.

The Cooperative Outdoor-Environmental Program provides an opportunity for people to participate in projects designed to enhance natural resources on the National Forests. Projects include tree planting, wildlife habitat improvement, environmental education, maintenance and improvement of recreation facilities, and resource management. Both commercial and noncommercial projects are carried on under cooperative agreements.

Group Contacts Program

The Group Contacts Program coordinates Forest Service contacts with key representatives of national groups and organizations. These include minority, conservation, environmental, timber, labor, minerals, oil, gas, range, wildlife, academic, civic, youth, and service groups to cover the broad range of people interested in the agency activities.

Through these and several other activities, the Forest Service seeks to broaden cooperative efforts with groups, organizations, and individuals from all professions to assure them that our forest resources and the natural environment will continue to serve the needs and desires of America for future generations.

Written Information Media

News Media

As a publicly financed organization, the Forest Service is obliged and eager to provide people with information about its activities. One of the most effective ways to do this is to furnish the information to newspapers, magazines, newsletters, radio, and television. Forest officers give the press full cooperation and make available any information requested, subject to pertinent limitations.

Information made available to the news media nationally, regionally, and locally includes changes in policy or procedures, use of National Forest resources, significant developments in research, programs being developed, changes in key personnel, forest fire news, information, and facilities on National Forests.

Continued sampling of public opinion is made by forest officers through newspaper reading. Selected clippings that include references to Forest Service and related activities are furnished to Region and Experiment Station offices and forwarded to the Washington Office. Both critical and favorable articles are sought. Often, the critical articles and editorials are of greater importance, since they may indicate a need for study and action.

The Chief's Office, Regional Offices, Experiment Stations, Area Offices, Forest Products Laboratory, and other offices issue news releases. These releases are made available on an equal basis to all news media that opt to receive them.

Publications

For purposes of control and management in the Forest Service, the term "publications" refers to printed or duplicated informational material that is distributed to meet the specific needs of the general public, other agencies and departments, and cooperators, as well as the needs of the Forest Service. FSM 1630.51 gives specific information concerning what is and what is not considered a publication.

These informational materials are published in U.S. Department of Agriculture series (such as technical bulletins and agriculture handbooks) or Forest Service series (such as research papers and general technical bulletins). The series chosen depends primarily on the audience; subject matter; and whether the information is of local, regional, or national interest (FSM 1630.52).

The Chief's authority as Publications Control Officer in the Washington Office is delegated to the Leader, Publications Group, Office of Information. The Office of Information (WO) has full responsibility for editorial work, printing, and distribution coordination of all publications originated by personnel of the Washington Office and assists in processing manuscripts proposed by Regions, Stations, and Areas.

A National Publications Coordination Committee has been established to improve the overall planning, coordination, and distribution of Forest Service publications.

Each Regional Forester, Station Director, or Area Director is designated the publications control officer for his area of responsibility and each may redelegate this authority only to one other person. Each is responsible for providing professional personnel to write and illustrate needed publications relevant to their missions and geographical areas and to edit all publications originating in their units. Each designates a publications distribution officer.

Publication proposals submitted by staffs or by subunits are reviewed by the publications control officer and should be approved before the manuscript is written (FSM 1621.12).

Proposals for publications to be issued by the Washington Office are sent by Regions, Stations, or Areas or the Washington Office staffs to the Washington Office Publications Control Officer, who coordinates all necessary clearances (FSM 1631.13). The WO Publications Control Officer may approve or disapprove proposals; in either case, the reply, with appropriate recommendations, is sent to all concerned staff groups.

Definitions of printing and binding and major restrictions on Forest Service printing are found in the most recent issue of the Government Printing and Binding Regulations published by the Joint Committee on Printing of the Congress of the United States. For each manuscript to be published, the Publications Control Officer certifies on an appropriate form as follows:

I certify that publication of this manuscript in the quantity and form requested is essential to the official business of the Forest Service, and that it has been prepared to meet exacting standards of economy and effectiveness.

Anyone involved in the planning, writing, editing, printing, or distribution of a publication for the Forest Service should carefully study Chapter 1630 of the Forest

Service Manual, the Publications Management Handbook (FSM 1609.11), and the Government Printing and Binding Regulations published by the Joint Committee on Printing of the Congress of the United States.

Of special interest are rules pertaining to authorship, acknowledgments (FSM 1631.15), and copyright (FSM 1631.16).

Cooperative publications are issued to advance public interest in Forest Service work and must include adequate acknowledgment of Forest Service participation. Results of cooperative agricultural research and of other cooperative work may be published by a cooperator if the Forest Service has determined that the cooperator has contributed the major share to the cooperative project and that the publication will give adequate dissemination of results. In Forest Service publications, the policy is to include clear statements of the nature and extent of any cooperation or assistance furnished by agencies, firms, or individuals outside the Forest Service.

Publications that originate in the Forest Service are financed with public money and therefore are not subject to copyright. Publishers of non-Government magazines and journals and cooperators recognize that, unless declared otherwise, publications and articles prepared by Forest Service employees as part of their official duties are in the public domain and not copyrightable.

In-Service Information

The objective of the in-service information program is to keep all employees informed of current Forest Service and Department of Agriculture policies, activities, programs, and issues. Each will be provided with sufficient internal information materials to be knowledgeable of current events affecting Forest Service programs and activities. Among methods of dissemination to be used are:

Friday Newsletter

The Friday Newsletter is used to transmit important information about policy and legislation affecting the Forest Service from the Chief to employees. It is prepared weekly by the Washington Office of Information. It, along with other important attachments, goes by direct mail to field offices. It is also mailed to retirees who wish to receive it.

Current Information Reports

Current Information (CI) Reports are prepared as needed by the Washington Office of Information to describe and explain special topics of current Service-wide interest. Copies are distributed by Regions, Stations, and Areas to all field units, and they may be distributed as needed to explain issues to the public.

Daily News Digest

The Daily News Digest is produced daily to inform the Chief, staff, and field line officers about nationwide activities affecting the Forest Service. Regions, Stations, and Areas submit information on such events to the Washington Office of Information by telephone, telecopier, or by mail. Current newspaper clippings and weekly or monthly magazine clippings from Regions, Stations, and Areas are essential in keeping the Chief, staff, and field officers informed.

Early Warning Alert

The Early Warning Alert is designed to describe quickly and briefly a past, current, or impending event in the field or in Washington that requires immediate informational action. It may also be used when a continuing event requires repeated release of information to prevent further deterioration of the situation. The Early Warning Alert is used by the Washington Office staff; Regional, Station, and Area staffs; Forest Supervisors and project leaders; and others as designated. It is also possible to transmit from Washington via a multiple broadcast facsimile unit to Regions, Stations and Areas.

Internal Newsletters

Regional Foresters, Station and Area Directors, Forest Supervisors, and Washington Office staff directors may issue internal newsletters for their respective areas of jurisdiction, provided that:

1. Content relates solely to agency policy and administrative needs, including incentive awards, safety, training, or similar subjects aimed at stimulating management improvement and announcements.
2. Issuance is on an as-needed rather than periodic, basis to preclude need for filler text and illustrations.
3. Personal and social items, humor columns and cartoons, poetry, and jokes are not included.
4. Initial justification is approved by the Director of Information, Washington Office.
5. Distribution is to employees and those cooperators, collaborators, retirees, and employees on leave of absence designated by the responsible line officer.

Out-Service Material

Duplication and distribution of material such as magazine articles, speeches, and meeting notes, produced by outside agencies and individuals keep personnel informed about forestry developments and activities. Whenever such material facilitates Forest Service work and objectives, it is brought to the attention of Forest Service people. Care is exercised in the duplication and circulation of material published outside the Government to avoid violating copyright laws.

Audio-Visual Information Media

The radio and television media reach an audience of millions of Americans every day. Many television stations devote a part of their program time to public service broadcasting that pertains to community affairs. Most local stations are willing to cooperate in the presentation of forestry and conservation programs as a part of their public service programming.

Radio and Television

The Forest Service strives to make the fullest use of the radio and television media in disseminating forestry information to the greatest number of people. To help meet its information and education obligation to the public, it cooperates in every possible authorized way with broadcast representatives of radio and television stations and networks. Regions, Experiment Stations, the Forest Products Laboratory, Forests, Ranger Districts, and field projects make planned use of available radio and television public service and feature and hard news story opportunities.

Motion Pictures

Many Americans have no opportunity to visit the National Forests or other Forest Service field offices. If the public is to participate intelligently in decisions, they need factual information. Therefore, it is a Forest Service responsibility to inform the public of what it is doing in National Forest administration, State and private cooperation, and research. Through motion pictures, information on forest multiple use, protection, and research is brought to any community desiring Forest Service films. Several million people have viewed these films, and thousands of adults and children made their first acquaintance with forest conservation in this way. Forest Service films for national use are prepared with the cooperation of the Department of Agriculture's Motion Picture Service.

Videotape

Many central Forest Service offices have access to videotape projection facilities. As part of its program to keep all employees informed of current activities, the Forest Service produces 1/2-hour videotape programs called "Meet the Chief."

They are for internal use and are produced when a timely subject needs a personal presentation to field offices.

Permanent Image Collection

Good photographs are an integral part of research, educational, historical, informational, and training activities. The Forest Service has an extensive forestry photographic collection, containing nearly 1 million col-

or and black and white images. A computer system and microfilm are used to store information about pictures in the collection.

Copies of many black and white photos and color slides are in stock and furnished free to any Forest Service unit. To continue this visual history of Forest Service activities, new material is constantly needed.

Reproductions of official photographs are furnished free to the news media, publishers, and cooperators in accordance with existing law and the understanding that the images will be used in the public interest.

Slide Programs

Slide programs provide a simple, economic, and effective way to illustrate Forest Service activities. All units are encouraged to have and use at least one current, localized, color-slide lecture set or slide-tape program.

Exhibits

A well-designed exhibit can be very effective. It can inform a large number of people, especially when staffed by a technician to answer visitors' questions. A good exhibit should concentrate on communicating one or two important ideas.

Each exhibit request is evaluated for cost, benefit to the Government, compliance with U.S. Department of Agriculture regulations, and availability of funds. In information and involvement planning, all units should maintain a balance between the use of exhibits and other information media.

Signs and Posters

A sign or poster, when correctly used, can also be a very effective information medium. For administrative purposes, the term "poster" includes all temporary notices, directions, information, or instructions ordinarily printed on paper or cardboard. Posters cover such items as campground rules, timber sale notices, fire rules, fire prevention messages, and farm woodlot series. In general, signs serve the same purpose as posters except that they are made of material other than paper or cardboard and are permanently installed and maintained. All signs and posters are displayed so that they will be easily seen, read, and understood by the public.

Signs are erected according to established standards near or at entrances to National Forests, National Grasslands, National Recreation Areas, and Experimental Forests. They are also erected on Ranger Stations; at Supervisors' offices; and along streams, roads, trails, and other facilities. They are lettered so that the particular National Forest, Forest Service, and the Department are readily identified and the purpose of the sign is clear. Lettering includes using the distinct logotype.

Basic responsibilities for the desired sign or poster product are divided among three staff units in the Washington Office: (1) Engineering is responsible for structural, mechanical, and traffic safety aspects of signing and for proper fabrication and maintenance, (2) The Office of Information is responsible for the adequacy of signs and posters from a public relations viewpoint, and (3) Recreation is responsible for the esthetic appropriateness and landscaping aspects of sign and poster installation.

The Regional and Experiment Station counterparts of these Washington Office staffs share responsibilities for signs and posters in similar fashion. Keeping signs neat and attractive is the responsibility of the unit in which the signs are located.

Visitor Information Service

With the passage of the Multiple Use Act in 1960, the Forest Service intensified its efforts to inform forest visitors about the National Forests and to provide them with orientation and interpretive programs to assist them in having safer, more enjoyable, and more meaningful visits that also minimize the impact on the forest environment. A Visitor Information Service was established for this purpose. Guided interpretive walks, campfire programs, self-guided trails, and visitor centers are some of the many types of media used to provide this service to visitors.

Other Information Media

The following are examples of other information media that serve to disseminate forestry information to groups, as well as to report policies, programs, and activities:

Public Speaking

An official talk with a specific objective prepared with concrete facts, adequate statistics, case examples, and visual aids can be an effective information tool.

Personal Contacts

In Forest Service work, personal contacts are key to productive public relations and effective informational and educational work. Therefore, it is the responsibility of each forest officer to devote as much effort to such contacts as possible.

The basic philosophy in Forest Service dealings with people is to indicate a personal interest in their welfare and problems, a genuine desire to be helpful, and a willingness to consider divergent opinions. Every employee is advised to remember these principles when replying to letters and telephone calls and when receiving visitors for good community relations depend on good personnel relations.

Show-me Trips

Show-me or informational trips are prime media for keeping people in communities and industries informed of forestry and range opportunities and practices. These trips are used by forest officers to familiarize key people with National Forest administration, research, and cooperation with State and private forestry programs.

Forestry Field Days

Field days are encouraged as a means of informing relatively large numbers of local people at a given time. They are usually planned around one or more specific subjects. Most people who attend have a lively interest in the subject or subjects to be demonstrated and discussed. Field days are an excellent medium for displaying research and other management results.

Each station plans, organizes, and conducts field days at research project locations when research has advanced far enough to warrant informing local people. One field day per location per year is the goal. National Forests and their Ranger Districts utilize field days to inform local groups of specific resource activities and needs.

Like show-me trips, field days require advance planning to make them effective. Since substantial numbers of people are usually involved, sanitation, safety, parking, seating, and drinking water are given careful attention. Research and National Forest personnel cooperate fully to plan to plan, organize, and conduct parts of the program.

Open Houses

An open house is an excellent medium for establishing productive community relations locally. They are used to open a new office, smokejumper headquarters, nursery, ranger station, public camp, or other fixed facilities.

Demonstration Areas

Demonstrating methods and results are effective mediums to achieve better conservation practices on the land. Accordingly, well-signed and maintained demonstration areas within National Forests and experimental areas are established along well-traveled roads. In Ranger Districts, major functions are represented on one or more demonstration areas. The same standard prevails for experimental areas.

The Forest Service Showcase

The showcase includes such things as personal appearance, offices, dwellings, warehouses, guard stations, vehicles, and equipment. The Forest Service is often judged by the appearance and condition of buildings and equipment, which must be kept in good shape. How these look in large part determines the casual observer's opinion of Forest Service efficiency and worth.

Historical Data

The Forest Service is interested in the preservation of its history and also the history of forestry in the United States. Much Forest Service information of historic interest has been lost in the past because it was not carefully recorded and preserved. To prevent further neglect or loss of such material, provision has been made for the permanent maintenance of records and materials of historical interest or reference value.

Library

All libraries operated within the U.S. Department of Agriculture and all units of the Department providing

library services, as well as their property and records, are under the general direction of the Administrator, Technical Information Systems (TIS), Washington, D.C. An agency-library liaison officer and an alternate are appointed by the heads of the respective offices to serve in the Washington Office, each Regional Office and Experiment Station, and the Forest Products Laboratory. Agency-library liaison officers are responsible for approving requests for acquisition of reference aids, maintaining proper records and inventories of reference aids, approving requests for indefinite loans from TIS, and coordinating proposals for changes in library services.

Chapter 8. Civil Rights

The major objective of the Civil Rights Staff is to ensure that no person is denied participation in or the benefits of any program or activity of the Forest Service because of race, color, creed, sex, marital status, age, handicap, religion, or national origin.

Civil Rights Staff functions include:

1. Setting standards for agency civil rights compliance review procedures, including approval of proposed procedures and review guidelines.
2. Reviewing standards for agency public notification and outreach procedures and methods as these pertain to equal opportunity.
3. Monitoring adherence to procedures for handling complaints alleging discrimination in U.S. Department of Agriculture programs and activities, including Federal employment, and when appropriate, suggesting corrective action.
4. Coordinating agency activities involving assistance to American Indians.
5. Establishing standards for agency statistical reporting and evaluation activities to measure minority program participation.
6. Establishing with respective staffs standards for agency performance targets regarding minority program participation.
7. Evaluating the agency's Minority Business Assistance Program pursuant to Executive Order 11625, regulations issued by the General Services Administration, and Departmental regulations.
8. Setting procedures for convening the Chief's Civil Rights Advisory Committee. This includes establishing rules and procedures for committee activities and the preparation of final reports.
9. Reviewing for compliance those documents and activities requiring civil rights impact statements.
10. Coordinating the preparation of the agency Affirmative Action Plan for Civil Rights and monitoring all targets included therein.
11. Reviewing all agency policies for adherence to the Department's position that no such policies shall bar full participation by women and minority beneficiaries.

Civil Rights Program Management

The Forest Service uses program planning techniques to develop action plans to ensure that all persons, regardless of race, color, creed, sex, age, religion, handicap, or national origin, are afforded equal opportunity to participate in or derive benefits from Forest Service programs and activities.

The Forest Service uses program planning techniques in the establishment of action items and in the evaluation of effort to achieve equality.

The Washington Office and each Region, Station, and Area provide the organization and resources necessary to

carry out affirmative action policies in all areas of civil rights.

The Washington Office Director of Civil Rights is assigned the responsibility to: (1) coordinate the development of the Forest Service-wide civil rights plan; (2) provide assistance and guidance to Regions, Stations, and Areas as needed; and (3) critique plans submitted by Regions, Stations, and Areas.

Regional Foresters and Directors shall delegate responsibility as appropriate.

Public Notification Plan

The Forest Service makes special outreach efforts to minority communities in order to increase this population's participation in the agency's programs and activities.

Civil Rights Impacts

Responsible Forest Service officers review proposed major policy actions for civil rights implications and either prepare a civil rights impact statement for any major policy action that has a significant civil rights impact or document the determination that a civil rights impact statement is not required.

A civil rights impact statement may be required for the following actions:

1. Legislative proposals, policies, programs, and projects for which an environmental impact statement is required (FSM 1950).
2. Changes in rules or new rules, regulations, or policies to be published in the Federal Register and not requiring an environmental impact statement.
3. Decisions affecting program delivery that will not be published in the Federal Register.
4. Proposed locations or relocations of field installations involving 10 or more permanent employees (FSM 1240).
5. Revisions of the Forest Service directives system.

Civil Rights Training

The following target groups and training program criteria are set forth as minimum guides to be followed by Regional Foresters, Station Directors, and Area Directors in the development of their civil rights training program. Responsibility may be delegated to Forest Supervisors to develop training programs providing that: (1) the Regional Office has established minimum guides and a monitoring system or (2) the program design receives the prior approval of the respective Regional Office.

Each new employee must receive within 90 days of appointment:

1. Orientation about the laws, regulations, and policies relating to civil rights and the employee's responsibility in carrying out these regulations and policies.

2. Specific information about special emphasis programs, their role in the Forest Service, and their relationships to the employee.
3. Full information about the discrimination complaint process for U.S. Department of Agriculture employees.

Every continuing employee must develop cultural awareness and have knowledge of:

1. Civil rights laws, regulations, policies, and procedures.
2. Special emphasis areas and designated program coordinators.
3. The unit's civil rights plan and the individual's role in carrying out the effort.

Every supervisor and manager must have:

1. Knowledge of civil rights laws, regulations, policies, procedures, and 8(a) contracts for disadvantaged small business firms.
2. Knowledge of managerial and supervisory roles and responsibility in civil rights.
3. Knowledge of special emphasis programs, responsibilities, and roles of program coordinators.
4. Cultural awareness.
5. Skills to develop and implement the unit civil rights plan.
6. Satisfactory performance in civil rights.

The civil rights program specialists (which include EEO specialists; EEO counselors; coordinators for the Federal Women's Program, Hispanic Employment Program, Indian Affairs, and similar programs; members of civil rights committees; compliance review personnel; personnel responsible for processing EEO complaints; and civil rights impact specialists) must have:

1. Knowledge of civil rights laws, regulations, policies, procedures and 8(a) contracts.
2. Knowledge of specialist responsibility roles, especially in regard to management, and other special programs.
3. Cultural awareness.
4. Ability to work effectively with people.
5. Knowledge of the unit civil rights action plan.
6. Knowledge of basic personnel management procedures (where appropriate).
7. Knowledge of discrimination complaint procedures.

Other program specialists who are not identified above and who are assigned in the Deputy Chief areas of Resources, Administration, State and Private Forestry, and Research must have:

1. Knowledge of targets of affirmative action plans related to their specialty.
2. Knowledge of civil rights laws, regulations, policies, and 8(a) procedures in specialty areas.
3. Problem-solving skills to overcome barriers to meeting civil rights goals.

Equal Employment Opportunity

Forest Service policy is to provide equal opportunity in employment at all organizational levels for all qualified persons and to prohibit discrimination in employment because of race, creed, national origin, sex, age, marital status, religion, handicaps, or other nonmerit reasons.

Line officers are responsible for developing, implementing, maintaining, and evaluating affirmative action programs of equal employment opportunity for all employees under their supervision.

The affirmative action plan setting forth specific goals with established target dates will serve as the basic management tool upon which to evaluate and measure the progress of the equal employment opportunity program.

Federal Financial Assistance Program

The provisions of title VI of the Civil Rights Act of 1964 and all related regulations developed by the Secretary of Agriculture and Chief of the Forest Service are to ensure that no person is denied participation in or the benefits of any program or activity of the Forest Service because of race, color, or national origin.

All programs or activities where assistance is granted to a recipient and the recipient extends service or benefits to others are Federal financial assistance programs.

Federal financial assistance instructions do not apply to:

1. Assistance by insurance or guaranty contracts.
2. Assistance extended before January 3, 1965.
3. Employment practices of a recipient, except where the purpose of the assistance is to provide employment or where the conditions of employment affect the fairness in service rendered.

Direct Programs

All direct Forest Service programs and activities are planned and administered to ensure that the benefits therefrom are made available to any member of society on an equal basis without discrimination or bias. Programs are changed or redesigned to implement affirmative action plans, which recognize needs of minorities, women, and handicapped persons, and to equalize participation and benefits.

The Forest Service officer administering the program or activity will be sure that beneficiaries eligible to receive benefits directly from the Forest Service are informed of each program and its benefits. Special efforts will be made to inform minorities and the underprivileged of the availability of such programs, using techniques and media best suited to the situation to obtain increased awareness and participation.

Minority Business Enterprise

It is Forest Service policy to ensure that procurement, grant, and loan activities are being used to the fullest ex-

tent to assist minorities, women, and economically and socially disadvantaged businesses. This also includes deposits in minority or women-owned banks.

Chapter 9. Human Resource Programs

Forest Service human resource programs provide human and natural resource benefits by administering and hosting programs in work, training, and education for the unemployed, the underemployed, the elderly, the young, and others with special needs. Human resource programs are coordinated with other Forest Service programs to maintain a high level of effectiveness. Work projects for human resource programs are planned to accomplish needed conservation work for which other funds are not available. In selecting work projects, both the needs of enrollees and resource management requirements are considered. Human resource program enrollees are not used to displace currently employed and funded workers.

Young Adult Conservation Corps

The Young Adult Conservation Corps (YACC) provides year-round jobs for unemployed and out-of-school young men and women, ages 16 through 23, in conservation work on National Forests, National Parks, fish hatcheries, wildlife refuges, and other public lands. The program is administered jointly by the Departments of Labor, Agriculture, and the Interior through an interagency agreement. YACC has both residential camps and nonresidential work projects.

The Labor Department's Employment and Training Administration is responsible for the referral of prospective enrollees through State employment agencies. The Forest Service and Department of the Interior agencies are responsible for the selection of enrollees. Enrollees may participate in the program for a maximum of 12 months. Preference is given to prospective enrollees who reside in areas that have an unemployment rate of 6.5 percent or more.

Enrollees are involved in all types of labor-intensive conservation work including vegetation and wildlife preservation, management, and improvement; recreational facilities development, rehabilitation, and maintenance; insect and disease prevention and control; and natural disaster damage control and cleanup. Enrollees receive the minimum hourly wage. Higher rates of pay are paid to enrollees performing additional duties of responsibility such as crew leaders.

Thirty percent of the funds available are used to support a grant program for States to conduct YACC projects on State and local public lands. The grant program is administered by the Forest Service and the Department of the Interior. State, county, municipal, and other local government may apply for grants through the governor's designated YACC program agent. A program agent has been designated in each State, as well as in the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Trust Territory of the Pacific Islands, and American Samoa.

Youth Conservation Corps

The purpose of the Youth Conservation Corps (YCC) is to further the development and maintenance of the natural resources of the United States by employing young men and women to work on conservation projects in the healthful outdoor atmosphere of the National Park System, the National Forest System, and other public land and water areas of the Nation. The program is administered by the Departments of Agriculture and the Interior to provide:

1. Gainful employment of America's youth, ages 15 through 18, during the summer months in a healthful outdoor atmosphere.
2. An opportunity for understanding and appreciating the Nation's natural environment and heritage.
3. Further development and maintenance of the natural resources of the United States by the youth who will ultimately be responsible for maintaining and managing these resources.

Overall responsibility for recruiting and selection rests with the Federal or State administrative unit managing the projects. Youth are chosen to participate by random selection. In all cases, recruiting efforts aim at ensuring an equitable economic, racial, male-female, and social mix, as well as a fair distribution of urban youth with those from small communities and remote rural areas. No one may be employed as a member of the Corps for more than 90 days in a single year.

All general work projects are directed and executed to give the Corps members an understanding of their task and how to accomplish it, its part in the overall plan for the area, and its environmental consideration—both positive and negative. YCC participants are given the opportunity to accept all of the responsibility they can assume.

Daily rate of pay depends on the type of camp attended, as deductions are made for meals and lodging at residential camps. Generally, the enrollees are paid the Federal minimum wage for 30 hours a week.

The Departments of the Interior and Agriculture administer a Federal-State cost-sharing program of State-operated YCC projects for the employment of young men and women to develop, preserve, and maintain non-Federal public lands and waters within the States.

State, county, municipal, and other local governments may apply for grants through the governor's designated YCC program agent. A program agent has been designated in each State, as well as in the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Trust Territory of the Pacific Islands, and American Samoa.

Job Corps

Job Corps' purpose is to assist disadvantaged young

men and women to become more responsible, employable, and productive citizens. The youths enrolled are volunteers, between the ages of 16 and 21 years, who are out of school and out of work.

Since 1964, Job Corps has served America's disadvantaged youth through intensive programs of education, vocational training, work experience, residential living, and counseling. Since its first year of operation in 1965, Job Corps has enrolled more than 1 million Corpsmembers, representing all 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Trust Territory of the Pacific Islands.

Currently, over 100 Job Corps centers are in operation throughout the Nation. Eighteen Job Corps civilian conservation centers are operated by the U.S. Department of Agriculture, Forest Service, under an interagency agreement with the United States Department of Labor.

Based on an entrance evaluation of individual abilities and needs, the Corpsmember receives basic education and vocational training in one of 144 occupations. The programs are designed particularly for youths who have never had the opportunity to experience proper success in school or in the world of work.

Job Corps provides enrollees with the additional education, training, or intensive counseling required to meet one of four recognized placement objectives: (1) to secure and hold meaningful employment, (2) to participate successfully in regular school work, (3) to qualify for other training programs, or (4) to satisfy Armed Forces requirements.

Since the skill levels and efforts expended by trainees are not the same, curricula and program completion dates vary. Job Corps is accomplishing its mission. The average enrollee enters with an approximate fifth grade reading level and advances one grade level in 6 months. More than 90 percent of Job Corps enrollees are successful in attaining one of the Job Corps placement objectives.

Senior Conservation Employment Program

The Forest Service's participation in the Senior Community Service Employment Program, administered under title IX of the Older American Act, is commonly known as the Senior Conservation Employment Program. It is a cooperative program with the Department of Labor for economically disadvantaged senior citizens, primarily in rural areas. The main benefits derived from the program by enrollees are a supplemental income,

work experience, and training. Enrollees also receive personal and job-related counseling, supervision, yearly physical examinations, and sometimes placement in regular unsubsidized jobs. In return, valuable conservation projects are completed on National Forest Lands.

Enrollees must be at least 55 years old and economically disadvantaged at the time of enrollment. Enrollees must qualify under the low income eligibility guidelines established by the Labor Department's Employment and Training Administration. Recruitment is handled through State employment services.

Enrollees receive at least the Federal or State minimum wage, whichever is higher. Enrollees may receive higher rates of pay for performing additional duties of supervision or skilled labor.

Volunteers in the National Forests

The volunteer program enables interested citizens to assist in the important conservation work of the Forest Service. Anyone who wants to become involved may apply. Volunteers under 18 years of age must have written consent from their parents or guardians.

A person becomes a volunteer by entering into an agreement with the Forest Service. Volunteers are not subject to employment regulations. However, if volunteers are sued for damage to property or for personal injury, including death, resulting from the operation of motor vehicle within the scope of their assignments, the Government will defend them under the provisions of the Tort Claim Act.

Further, if volunteers are injured while working within the scope of their agreements with the Forest Service, they are covered by the Federal Employees' Compensation Act.

Hosted Programs

The Forest Service frequently receives requests to enter hosting arrangements from Federal administrators of categorical grant programs and from the sponsors of programs at State and local levels. The number, types, and nature of these programs are constantly shifting due to various human, social, and economic forces. Individuals in hosted programs are compensated by another Government agency. The Forest Service usually furnishes work projects, supervision, and work materials. Among hosted programs are College Work Study, Vocational Education, Work Release, and hosting agreements under the Compensative Employment and Training Act.

Chapter 10. Personnel Management

The major objective of personnel management in any organization is the effective development and utilization of human resources. Development includes increasing proficiency through learning and hiring capable employees. Utilization includes assignments that serve the mutual needs of the employee and the organization, as well as adequate performance. Personnel management is, therefore, not an entity, but an integral part of total management, because performance is the product of individual proficiency and motivation and group organization and methods.

New employees for all continuing positions are usually selected from lists of Office of Personnel Management eligibles. Higher grade positions generally are filled by promotion. This ensures that employees occupying positions of responsibility have a thorough knowledge of the Forest Service organization and program objectives. Selections are made from other agencies of the Department of Agriculture or other Government agencies if better qualified candidates can be recruited from such sources.

Although most of the higher grade positions requiring administrative ability also require professional competence, anyone with an appropriate technical education can advance to such positions. This is limited, however, to positions for which a definite education requirement has not been established. Individuals must demonstrate outstanding ability to qualify in this manner.

Promotion and Reassignment

Merit Promotion Objectives

These objectives are to: (1) staff Forest Service positions with highly qualified personnel; (2) provide career opportunities for employees and ascertain that they receive fair and appropriate consideration for higher level jobs; and (3) provide incentives for employees to improve their skills, knowledge, abilities, and performance.

When filling a vacancy, the qualifications of all competitors are evaluated against the qualification requirements of the position. Candidates' experience, education, training, and past performance are compared to the skills, knowledge, and abilities needed in the position. Such a policy usually provides more candidates than promotion opportunities, and some highly qualified individuals may fail to be promoted at a particular time. Selection of the successful candidates depends on the selecting officer's judgment, supported by information and advice made available through the merit promotion program.

All qualified employees are eligible to compete for advancement by applying on the basis of a vacancy announcement or skill file. Promotions up to and including GS-13 are ordinarily within the jurisdiction of the Regional Forester, Station Director, or Area Director. Promotions to lower grade positions may be delegated to

lower organizational units. Promotions for some positions at the GS-13 level and all GS-14 and above levels require approval of the Washington Office. Selections for Senior Executive Service positions require Department and Office of Personnel Management approval.

Reassignment, Objective, and Policies

Professional, administrative, and technical employees, in particular, and subprofessional and clerical employees to a lesser extent, may expect occasional reassignment without promotion. Reassignments are made to meet Forest Service needs and to broaden the employee's development and experience. They provide for development and work experience in other units, locations, and/or different types of work.

Occasionally, employees request reassignment because of illness, family problems, or other personal reasons. Special consideration is given to such problems when possible.

Career Development

Many resource, administrative, cooperative, and research activities are conducted by the Forest Service. The management of the National Forests requires the services of a large number of administrators including District Rangers and Forest Supervisors, among others. Functional specialists also are required for resource or administrative management of the National Forests, Regional Offices, Experiment Stations, Areas, and the Forest Products Laboratory.

Personnel officers make an effort, through systematic records and personal contacts, to discover the interests and aptitudes of all employees. In this manner, a career may be planned that will develop and advance employees in the field best suited to their basic training, aptitudes, and interests. Guides defining the qualifications and experience needed for advancement are found in the *X-118 Qualification Standards for Positions under the General Schedule*.

Upward Mobility Program

The Forest Service Upward Mobility Program provides opportunities for the development and advancement of employees GS-8 and below or equivalent who are in positions that do not permit them to realize their full work potential. Under this program, employees may move from dead-end jobs into occupations providing progression beyond the employee's current grade level. Upward mobility positions are filled through the Forest Service Merit Promotion Plan, which requires open competition via vacancy announcement.

One of the unique aspects of this program is that employees may be selected for positions for which they do not initially qualify. Through intensive and ac-

celerated training, these employees eventually should meet necessary qualification requirements.

The program encourages the restructuring of positions to allow filling position vacancies at a lower grade level. Employees selected for this program are required to have an individual development plan, and their progress is evaluated periodically to ensure successful completion of the training assignments.

Employee Self-Development Program

New employees receive training on the job by the immediate supervisor or sometimes in groups conducted by regional training or personnel officers. One important feature of such training sessions is to provide an opportunity for employees to discuss their objectives with supervisory personnel who are interested in their development.

An excellent opportunity is provided at the time of annual employee-development interviews for all employees to discuss their training needs and advancement opportunities. Work supervisors or personnel officers are available to plan and assist employees with training plans designed to qualify them for advancement. However, advancement is dependent upon individual on-the-job accomplishments as well as opportunities or vacancies in higher grade positions.

Employees desiring aid in planning careers may consult with their work supervisors or personnel officers. It is the policy to provide on-the-job training plans for each employee. These plans as well as extra-curricular training opportunities are discussed with the employee. All personnel officers are well equipped to give advice concerning reading references or graduate work-study courses.

Personnel Management Organization

The function of personnel management in the Forest Service is decentralized and assigned to specific organizational segments at various levels.

1. *Washington Office.* The Personnel Management Staff in the Washington Office serves as the central personnel unit in the Forest Service, providing leadership and coordination for all personnel activities. The staff serves under the direction of the Deputy Chief for Administration. Representatives of the staff maintain liaison with the Office of Personnel serving the Secretary of Agriculture.

2. *Station Offices.* The Director of each Station and of the Forest Products Laboratory has one or more personnel specialists on the staff. These people are part of the Division of Research Support Services. They serve as technical advisers to the Director, assistant directors, and other supervisory employees in the organization. They may also be assigned as counselors for individual research workers. The personnel organization covers all personnel activities for the

Station and provides leadership for activities other than appointment and classification at the work level.

3. *Regional Offices.* Each Regional Forester has a separate organizational unit to fulfill the personnel objective to develop and utilize the human resources assigned to the region within the limits of applicable laws and regulations. The director of the organizational unit serves on the staff of the Regional Forester and contributes to the general management of regional programs.

When requested, representatives of the personnel organization serve as technical advisers to Regional Division Chiefs, Forest Supervisors, District Rangers, and members of their staffs. The personnel organization covers all personnel activities in the Region and provides leadership in developing competence in these activities at the Forest and Ranger District levels.

4. *Forest Supervisor Offices.* The administrative officer of each National Forest is designated as the principal forest personnel officer. In addition, most Forest Supervisors have a personnel management specialist on their staff. When these specialists demonstrate an acceptable level of competence and the workload so justifies, they are delegated employment and classification authority among other responsibilities. All personnel activities, in varying degrees, are carried out at the Forest level.

5. *Ranger District Offices.* Since District Rangers are in charge of the operating units of National Forest administration, they seldom are assigned responsibility for appointment and never for position-allocation activities. Responsibility for other activities may be assigned to specific members of the District organization. For example, the fire-control technician may serve as selection, placement, and training officer for all fire-control aids; the mechanic may be responsible for all driver testing, training, and licensing; and warehouse personnel may be assigned responsibility for all building protection and fire extinguishers.

Employee Responsibilities

All employees are expected to conduct themselves in a creditable manner to achieve the objectives of the Forest Service. Each employee is expected to:

1. Contribute to organizational goals as expected. This involves learning the goals and the relationship between various organizational units, as well as the standard operating procedures applicable to the particular assignment. It also includes maintaining adequate physical and mental health.
2. Recognize and resolve conflicts between resources and users of these resources.

3. Help to strengthen the common purpose. This means helping other members of the group adjust to the environment, acquiring knowledge and skills that will permit assignment to more challenging work or participation in establishing organization goals, and explaining the organizational goals and achievements to individuals and groups outside of the Forest Service.

Responsibilities of Work Supervisors

In addition to working toward personnel and organizational objectives, work supervisors are expected to strive to:

1. Practice firm and fair leadership by maintaining an organizational relationship in which employees willingly accept the supervisor as a leader in their cooperative endeavor.
2. Achieve desirable changes in employee behavior by understanding individual needs and assisting each employee in perceiving the full picture of the immediate situation.
3. Gain acceptance of group goals by having employees participate in setting them.
4. Obtain effective communication by permitting free interchange of information, opinion, and ideas among members of the group.
5. Set a good example by behavior.

Responsibilities of Staff Officers

Each functional staff officer serves the manager by providing technical guidance and participating in the solution of technical problems. The able staff officer keeps informed of progress towards organization goals and identifies problems hindering progress. The staff officer also keeps the manager informed on matters: (1) for which the manager is held accountable, (2) that are likely to cause controversy within or between organization units, (3) that require advice of the manager or coordination with other persons or units, and (4) that involve recommendations for changes in established policies.

Recruitment and Employment

Legal authority for recruiting to fill Federal positions is vested in the Office of Personnel Management. By regulation, certain positions are excepted from the provisions of the Civil Service Act, which requires public announcement of vacancies to be filled.

Forest Service authority to recruit and directly employ individuals is limited to certain temporary, summer, and seasonal positions; positions established cooperatively with an agency of a State or local government; positions under the Cooperative Education Program; and positions for which there is no existing register of eligibles established as a result of a competitive Office of Personnel Management examination.

Student Recruitment

The Forest Service is constantly searching for and seeking out promising students majoring in forestry, range management, wildlife, biology, landscape, architecture, engineering, accounting, business management, and other disciplines. Special efforts are made to expose these individuals to the Forest Service as an employer. Region and Station personnel officers provide summer employment opportunities for many students through the Summer Student Employment Program.

Forest Service officials visit many forestry, range, engineering, and business administration colleges and universities each year for the purpose of informing students of the employment opportunities in the Forest Service and the procedures for making application.

Forest Service officers give individual attention to students and make an effort to talk personally with students who are interested in a Forest Service career. The personal contact is especially important because students then receive favorable impressions of Forest Service personnel and understand the Service's policies, objectives, and ideals. Recruiting officers also visit high schools to acquaint students with Forest Service career opportunities.

The objective of liaison with students and faculties is to strengthen relations and to obtain outstanding graduates for employment. Some ways to meet this objective are direct meetings with faculty and arranging field trips for faculty members to visit Forest Service locations; employing faculty members in the summer; arranging joint field meetings and discussions with faculty members and students; and participating in school activities such as club meetings, faculty meetings, and class discussions.

Employee Development and Training

Employee development and training through the use of a learner-centered systems approach is designed to: (1) qualify each individual to perform satisfactorily to prescribed standards; (2) prepare each individual for a satisfying, productive career; (3) stimulate maximum self-improvement and growth to achieve each individual's full potential; and (4) serve as an essential aid to the efficient, long-range administration of the Forest Service.

The Forest Service plans and provides for effective personnel training and development as an integral part of managing its current activities and meeting future requirements. Personnel training and development are assigned proper priority in the planning and direction of all activities to enable unit supervisors to meet responsibilities. Training policies are:

1. Personnel development and training are closely coordinated with program needs and personnel management activities, particularly the inventory of long-range needs for technical and managerial

leaders in National Forest administration, research, and State and private forestry and the effective use of employees so they can advance to their full capacity.

2. Employees are assigned and encouraged to carry out their responsibilities for self-improvement and development. The desire to learn must exist or be developed before any training activity can be effective.

3. Through the use of a training systems approach, employees are trained for their positions before being given full authority or being held responsible for the full and satisfactory performance of their duties.

4. Personnel development and training are given sufficient priority to enable supervisors to provide efficient on-the-job training and seek out developmental experiences for each employee. Training and development are based on essential needs and planned individually for each employee in the Forest Service, excluding emergency workers or others hired for less than a season.

5. All project and job planning include sufficient instructions to get each task accomplished in a safe and efficient manner in accordance with established standards.

6. Employees' interests, qualifications, and training needs for advancement or increased responsibilities are considered at least annually, in line with the merit promotion plan and discussions on performance requirements and ratings.

7. As a minimum, all Regions have a training officer who devotes at least half time to the technical planning, leadership, and coordination of the Region's employee development and training program. All unit managers clearly designate responsibility for technical training leadership and see that this responsibility is fulfilled on a continuous basis.

Plans and Standards

Most employee development and training is self-development and training. Development of individuals, including training, is primarily the result of what happens on their jobs, plus their efforts in self-improvement. In this process and in attaining quality training rapidly, the immediate supervisor is the key person. Supervisors are responsible for identifying the needs of the individual and then seeing to it that these needs are met.

Development and training are planned at least annually on the basis of performance requirements and individual needs. Training and development are effected through use of the best possible learner-centered methods, techniques, knowledge, and facilities available, and are designed to create an effective learning situation.

All new employees are given orientation training as soon as practicable. This training is given individually

within the work unit and supplemented by group action when the latter is practical and efficient. The primary purpose of this training is to acquaint employees with the objectives and activities of the organization and to establish their responsibilities in the Forest Service.

All employees are oriented, when necessary, to become familiar with new assignments resulting from added responsibilities, details, transfers or promotions.

Training standards are based on established qualification and performance requirements for each job assignment. Where needed, these standards are set up for each functional job and described in functional handbooks and other operating references. Adequate training will qualify employees to perform their assigned jobs and prepare qualified personnel for increased responsibilities. The ability to perform safely and efficiently in accordance with established job descriptions, job standards, and performance requirements is the measuring stick of training results.

Training officers strive to be well trained in the principle arts and modern educational technology that relate to the learning processes. They should also be familiar with the science of education and the philosophy and techniques of adult education, know the methods and techniques of vocational training, know the science and practice of instruction and when and how to use its techniques, know and demonstrate the skills of stimulating disciplined self-development, know about training in other public organizations and in industry and when and how their methods will best serve their unit training programs; and be students of psychology.

Training officers also strive to fulfill the professional responsibilities for administering the unit's training program by:

1. Assembling and analyzing facts related to the size, extent, and content of employee development and training needs.
2. Planning for present and future training needs and assisting in determining who, what, where, when, and how.
3. Providing leadership in training activities by working with and through staff and line officers in developing effective training systems.
4. Keeping abreast of developments in other training fields.
5. Participating in advisory and counseling services to line-staff employees.
6. Participating and assisting in evaluating the results of the unit's training activities.
7. Letting others, both in and out of the Forest Service, know what is going on in training through in-Service news items and public press releases.
8. Continuing to develop themselves, particularly in the important field of communications.
9. Emphasizing training for leaders.

Competent employees are selected for all positions and remain in their assignments long enough to master them and make constructive contributions before being moved. Such selection requires careful planning and consideration. Insufficient consideration of an individual's potential for promotion could result in either a short-term assignment or postponement of a merited promotion. The desirable time element for an assignment varies with individuals and the class, level, and complexity of the work involved, as well as opportunities for other assignments.

Promotions

A continuing supply of highly qualified employees to meet future needs is essential. The Chief's Staff and Washington Office Staff Directors, Regional Foresters and Staff Directors, Station and Area Directors and Staff, Forest Supervisors, and Research Project Leaders keep informed of developments that affect human resource needs, including program trends and normal attrition through retirements and resignations. Planned assignments provide training and development opportunities for employees to qualify for more responsible positions.

The policy is to promote highly qualified employees from within the organization when such employees are available. Promotions are a major factor in building a sound organization and career program. Through wise and effective use of promotion opportunities, competent employees are motivated and rewarded. Capable persons are provided satisfying careers with opportunity to attain their full potential.

Minimum qualification standards for positions in the competitive service are established by the Office of Personnel Management. These standards define the kind and scope of experience, education, training, and physical requirements by class of work and grade of position. They are published in OPM Handbook X-118. Standards may be expanded when necessary to meet specific situations.

Candidates meeting required qualifications for the position are evaluated against the skills, knowledge, and abilities required to perform the work of the position successfully. Highly qualified candidates are certified to the supervisor for selection.

Employees are informed of promotional opportunities generally by means of vacancy announcements. Vacancy announcements on the grade and nature of positions are issued by personnel offices at differing levels. Employees who meet the experience and/or education requirements for advertised vacancies are encouraged by their supervisors to apply.

Promotion plans and actions are reviewed at the time of each regular personnel management evaluation of the employment program to determine whether promotions are being made in accordance with the plan; the need for

amending or improving the plan; and other steps needed to ensure better operation and understanding of the program by employees, supervisors, and management. The results of these reviews are included in regular evaluation reports.

Placement followup is especially important during the first few months after assignment to a new position. The progress of each employee who is promoted is checked frequently by the supervisor or line or personnel officer to determine whether the employee has been satisfactorily placed and to discover any areas in which special coaching and training are necessary.

Employees are provided with information on the promotion program, advised on how they might improve their chances for promotion, and encouraged to improve their skills and apply for promotion opportunities.

Position Classification and Pay

The objectives of position classification and job evaluation are to: (1) correctly group positions into classes and levels of difficulty on the basis of duties, responsibilities, and qualification requirements; (2) fulfill legal and regulatory requirements; (3) promote understanding and acceptance of the concepts and systems used in position classification and job evaluation; and (4) actively participate with management to identify sound, legal solutions or alternatives that support agency goals.

The following is Forest Service policy on position classification and pay for positions under both the Classification Act (GS) and Federal Wage System (WG, WL, WS):

1. Each position shall be placed in its appropriate class on the basis of:
 - a. The difficulty and complexity of the duties and responsibilities of such positions.
 - b. The qualifications required to perform such duties and carry out such responsibilities.
2. Equal pay ranges will be paid for work of substantially the same level of difficulty.
3. The organization of tasks into positions is the responsibility of managers and supervisors. The classification of positions is the responsibility of qualified classifiers as delegated.
4. Work supervisors are responsible for:
 - a. Informing subordinate employees of their duties and responsibilities and providing each employee with a copy of the current position description.
 - b. Ensuring that position descriptions are current and accurate.
 - c. Informing each employee of the general basis of classification, the availability of classification standards, and the employee's appeal rights.

d. Initiating prompt requests to obtain position classification action when a subordinate position changes substantially in duties or responsibilities.

e. Reviewing subordinate positions at least annually to ensure that position descriptions are substantially current and accurate and following through on obtaining necessary corrective actions.

f. Supporting the classification system by furnishing classifiers complete, factual, and objective information about positions under their control.

5. Position classification and position management must be closely coordinated by classifiers and the persons with position management authority.

The need for fair and consistent treatment of employees as related to pay is one of the chief reasons why Forest Service positions must be classified. In a large and complex organization, such treatment is impossible to obtain without a sound system of position classification. When there is a serious, unresolved question about the classification of a position, employees may appeal their classifications at any time. Before submitting a written classification appeal, the employee and supervisor should reach agreement on the description of duties performed.

Consistent treatment of employees also requires establishment of a uniform system governing hours of work. The basic work week is 40 hours, with personnel ordinarily assigned to work 8 hours per day, 5 days per week. Nonstandard tours of duty may be established when required by such conditions as emergencies, irregular and unpredictable needs, or part-time and intermittent work. Flexible tours of duty may be authorized in those organizations where such schedules benefit the mission.

Classification and Pay Responsibilities and Delegation of Authority

The Secretary of Agriculture, through the Director of Personnel, has delegated authority to classify positions to the Chief of the Forest Service, who is authorized to redelegate this authority to incumbents of designated positions.

The planning of an organization involves the assignment of duties to individual positions, the relationship of the positions to one another, the flow of work through positions, and the number of positions required to accomplish the work of the organization. Classification is concerned with evaluating individual duties and responsibilities and their relations to each other. Each proposed classification action cannot be considered as an isolated case, but must be studied in the light of its effect upon the organization structure and other positions in it.

The classification and pay staff is represented in all planning conferences involving significant changes in organization, reassignment of functions, and realignment of position duties. These proposals are discussed and decisions reached on such organizational matters, including probable grades of positions, before classification actions are proposed. Only in this manner does the unit realize the full value of classification.

Personnel Controls

Performance Evaluation

Those responsible for planning and supervising work programs must know the skills and abilities needed for successful work performance. They must be alert to the characteristics of personnel under their direction. Workers, including those who are already very effective, must be encouraged, motivated, and trained to do better. These requirements are fundamental to good administration.

Execution of a performance evaluation plan requires that supervisory personnel use the same knowledge they use in administration and supervision—a knowledge of the work to be done, the way it should be done, and the way it is being done by each employee directly or indirectly supervised.

The purpose of the system and of the evaluation plan is to improve administration and thereby increase work efficiency and effectiveness. Plans are as simple as possible and provide that proper performance requirements be developed and made known to all employees; that performance be fairly appraised in relation to such requirements; that appraisals are used to improve the effectiveness of employees' performance; that work supervisor-employee relationships are strengthened; and that employees are kept currently advised of their performance and promptly notified of their rating.

Each performance evaluation provides for rating of outstanding, satisfactory, or unsatisfactory. An outstanding rating requires approval of someone other than the rating officer and must be fully documented and justified. Unsatisfactory ratings can only be given when an employee has been informed of inadequacies and is given 90 days to demonstrate satisfactory performance.

Performance requirements are in writing. Written performance requirements provide the basis for reaching a common understanding by both the work supervisor and employees as to what constitutes satisfactory performance for each task. Through this common understanding, working relationships are improved. As requirements differ from job to job, performance requirements will vary. Work supervisors develop performance requirements for each position under their supervision. The actual development is best accomplished by a joint effort of the work supervisor and the incumbent. The require-

ments are reviewed by others to obtain uniformity within the organization.

The comprehensive performance discussion is the primary method supervisors use to foster the performance excellence of their subordinates. Comprehensive discussions of performance are held with subordinates at least once per year. These discussions make use of all the effort the supervisor has put into preparing performance requirements and assigning performance ratings. The discussions lead to understanding, agreements, and expectations about employee performance and translate the appraisal activity into a plan of action for the employee.

A system of cash and honorary awards has been developed to recognize individual employees or groups of employees who contribute significantly to improving the efficiency of operations. Recommendations for such recognition are made by the work supervisor.

Rules of Conduct

Employees must set and maintain a high standard of personal conduct and integrity. They must conduct themselves in a manner that will not cause embarrassment to or criticism of the Forest Service or interfere with the efficient performance of their duties. The duties of some employees require the enforcement of laws or regulations; others are in positions to award or influence the award of business or to take or influence the taking of official action that may affect favorably or unfavorably any person, firm, or corporation. These employees are not permitted to accept from any such person, firm, or corporation any favor, gift, loan, unusual discount, service, entertainment, or other thing of value.

Employees may not give or use nonpublic information acquired by means of their official positions to advance the interests of themselves, family, business associates, or personal friends.

The Forest Service must be in a position to stand the brightest glare of public scrutiny and criticism at all times. Employees are required to conduct themselves in such a manner that their actions are not detrimental to the reputation and integrity of the Service.

Outside Activities Conflicting With Official Interests

Public servants must maintain moral and ethical standards to warrant the continuing confidence of the people. The people are entitled to high standards of behavior from their public servants. There must be no real or apparent conflict between private interests and the public duty of Forest Service employees.

The law provides that employees may organize. The Department encourages the formation of employee associations insofar as laws and regulations permit and assists in their activities. Associations are open to all

employees for their benefit and not for the benefit of an individual or special group.

Unless forbidden by law, every employee has the right to join or refrain from joining any organization or association of employees. In the exercise of this right, the employee is free from all restraint, interference, and coercion. Recognition of this right is not to be construed as recognition of the right of an employee to strike.

The objectives in handling disciplinary matters include protection of the interests of the Forest Service; rehabilitation of employees where possible; and elimination of unsatisfactory or substandard employees.

Disciplinary actions are sometimes confidential and sometimes publicized. It is usually desirable for someone in authority to notify others in the unit concerned of the action taken. In other situations, the major objectives are best fulfilled by circularizing the facts within the Forest Service. Sometimes, in the interest of public relations, action taken by the Forest Service should become public information.

Employees are privileged to express their grievances without fear of reprisal. A grievance procedure designed to provide equity under all circumstances is available to each employee. In addition, employees may appeal alleged discriminatory practices to adjudication officials outside the Forest Service. The objective is to respect individual feelings and maintain a working environment that will make grievances and appeals unnecessary.

Employee Relations

Employee relations programs in the Forest Service consist of four major processes and have been designed to secure the highest level of performance and conduct of Forest Service employees. These programs are: (1) adverse actions, (2) employee grievances, (3) EEO complaints, and (4) appeals.

Adverse Action

Adverse action programs have been designed to deal with employee conduct and performance-related problems. Penalties for employee deficiencies vary from verbal admonishment to removal actions. A penalty guide has been established to assist in uniform application of penalties for similar offenses. Adverse action programs are designed to rehabilitate and secure desirable performance and conduct and are not designed to penalize. Removal actions are taken only after a determination has been made that the efficiency of the Government will be clearly promoted by an employee's removal from the organization. In all cases, employees receive due process procedures prior to effecting disciplinary measures. The procedural requirements vary depending upon the severity of the proposed penalty.

Employee Grievances

The grievance program has been designed to cover any matter of concern or dissatisfaction to the employee if the matter is subject to the control of agency management. The grievance program is a Department of Agriculture program approved by OPM. The process starts out informally with an attempt at resolving the problem at the lowest level possible. If the resolution is not obtained at the local level, the grievance is submitted to the Chief of the Forest Service for a proposed decision. After information is obtained upon which to base a judgment, a proposed decision is issued by the Chief's office. If the employee is not satisfied with the proposed decision, a grievance examiner at the Department level is appointed to deal with the issues. A grievance examiner makes a proposed recommended decision, which is accepted or rejected by the Chief of the Forest Service. After acceptance, the decision becomes final and terminates the grievance process.

EEO Complaints

The EEO Complaint Program is designed to prevent discrimination by agency officials. In a situation where employees or applicants believe they are subject to discrimination, their first action is to contact a local EEO counselor. Counselors have been appointed at all organizational levels to assist in resolving discrimination complaints. In most cases, EEO complaints are resolved on a local, individual basis and corrective action is taken. If the counselor is unsuccessful in achieving resolution, a formal complaint is filed. After acceptance, a report is prepared outlining all the facts related to the alleged discrimination. After an attempt is made by the agency representative to obtain an informal resolution, a proposed decision is then issued by the Chief. If there is a finding of discrimination, the proposed decision is issued to the complainant who has the right to request a decision by higher authority if not satisfied with the Chief's decision. The complainant has additional appeal rights to the Equal Employment Opportunity Commission and the courts.

Appeals

Depending upon the severity of the actions taken by the agency regarding employee matters, various appeal levels have been designed to afford the employee an opportunity for outside authorities to review the merits and procedures of related actions. In suspensions of more than 14 days up to removal, the Merit Systems Protection Board is the first appeal level available to the employee. In the case of suspensions of up to 14 days, the grievance system is the applicable appeal process.

Labor-Management Relations

The Federal Labor-Management Relations Program provides employees an opportunity to participate with management in the development and/or implementation of personnel policies and practices and other matters affecting their working conditions. Labor organizations, chosen by employees and certified as their exclusive representatives, are recognized as having a legitimate interest in matters affecting the welfare of the employees they represent.

The Forest Service strongly supports a constructive and cooperative bilateral relationship between labor organizations and management officials. Supervisors and managers are expected to meet their obligations and responsibilities in a positive manner.

All employees may join a labor organization. In addition, eligible employees may form and assist a labor organization. Employees may exercise these rights freely and without fear of penalty or reprisal.

Health and Safety

The Forest Service directs a continual and major effort toward the development and maintenance of a high level of work performance, which in turn is characterized by the absence of work errors that lead to avoidable occupational illness, injuries, fire, equipment accidents, and program interruptions.

Employees are called upon to work at a wide variety of tasks under conditions and circumstances that vary widely from day to day and from location to location. Employees also use a wide range of plans, tools, vehicles, and methods of operation in accomplishing their work. The diversity of working conditions and attendant risks presents a real challenge to employees, first-line supervisors, and managers. Job skills training in human relations, fundamentals of risk assessment and prevention, and safe work performance indicators are required of all employees. In addition, the attainment of a high degree of job skill and a better understanding of the nature and causal factors of accidents will help individuals to protect themselves from accident-producing work errors.

Supervisors are supported by positive managerial leadership and direction. Management sets goals, attainment targets, and safe work performance standards and then actively ensures that these standards are met.

An important aspect of a dynamic organization is the complete integration of safety and health provisions into the plans and procedures of every functional activity. Each staff carries out its assigned responsibilities and directs its work so that goals are reached with an acceptable number of illnesses, injuries, accidents, and other errors.

Under that concept, safety and health managers develop programs to collect data on illness, injury, and accident cause and cost; make analyses; and recommend corrective actions. Timely and factual management investigations of serious accidents are an important aspect of data collection. The data show trends and give an insight into loss categories, risks, overall performance, and causal conditions.

The long-range goal of the safety and health program is to protect our employees, their families, the public who visit Forest Service facilities, ongoing programs, and our material resources from the consequences of accidents through reduction and control of the performance errors that permit them to occur.

Incentive Awards Program

The incentive awards program provides a means of recognizing employee participation and achievement. Participation may involve suggestions, inventions, superior accomplishments, and other personal efforts. Citations, cash awards, honor awards, or combinations of these are the forms of recognition.

Each supervisory officer is responsible for recognizing employee performance or recommendations that may merit an award.

Chapter 11. Office Management

The primary objectives of office management are to organize, direct, and coordinate the efforts of the office force under a system of prescribed policies and methods of operation; to provide that the entire production of the office organization is directed to best serve the needs of program managers and employees responsible for management services; and to aid in the performance of more effective work by: (1) providing timely and accurate information; (2) providing facilitating office services; and (3) relieving program managers, to the fullest extent practicable, of routine tasks and paperwork requirements.

Office management policies include:

1. Application of progressive office management work planning and supervisory methods.
2. Maintenance of a trained office organization to meet increasing workload requirements.
3. Use of modern equipment to increase efficiency and relieve employees of monotonous and routine tasks, which can be more efficiently and economically performed by machines.
4. Continuous orientation and motivation of employees to increase efficiency and interest in their work and services to others.
5. Alertness to the need for increased and progressive office services for program managers and employees responsible for management services.

Records Management

The broad administrative management program of the Forest Service includes records management along with the familiar fields of personnel, budget, fiscal, procurement, and property. The memory of an office is its paperwork and records. Records management, therefore, supplements the other management fields by establishing and maintaining adequate records to contribute to maximum effectiveness and economy in Forest Service activities.

The direction of this program and its effectiveness in controlling the creation, use, and systematic disposition of paperwork depend, to a large extent, on the understanding and support the program receives from management. Management must be fully aware of the need for the control of paperwork from creation to disposition, as well as the benefits that can ensue from the efforts of competent records management personnel.

Adequate control requires a continuous elevation of paperwork processes in all offices, including the evaluation of interest in paperwork management on the part of all employees. All employees must understand that the paperwork process is an integral part of the total operation and that its techniques and methods can be used to control the volume and quality of paperwork for increased efficiency.

The Forest Service records management system is designed to attain the following major objectives:

1. Provide maximum service to the public and improve in-Service correspondence and directives through the medium of well-prepared paperwork. This results in better satisfied correspondents and fewer requests for clarification of correspondence or directives.
2. Process all phases of paperwork in an efficient and effective manner to meet current operational needs and expanding program responsibilities, including technological advancement in records management.
3. Ensure adequate documentation of important policies, decisions, procedures, essential transactions, and information to satisfy the administrative, legal, and research requirements of the Forest Service and the rights of persons directly affected.
4. Provide that records of continuing value are preserved and that records of no further usefulness are systematically disposed of or retired in accordance with laws and regulations.

The records management system is also intended to:

1. Develop and use modern work techniques, systems, and periodic reviews. The system incorporates advances in mechanization and technology in paperwork management.
2. Adhere to the principles of simplified writing in preparing correspondence, directives, and reports.
3. Provide qualified staff leadership and technical assistance to establish and maintain an active and continuous records management program under up-to-date methods and uniform standards.
4. Retain records created or received by the Forest Service in pursuance of Federal Law or in the transaction of public business. These are the property of the Government and are not removed from the custody of the Forest Service, destroyed, or otherwise disposed of until proper authority is obtained and established procedures are followed.

The Chief is responsible for establishing and maintaining an adequate records management program as an integral part of the management function. Such a program must provide for effective control of the creation, organization, maintenance, use, and disposition of all Forest Service records; collaboration with the Department in developing and applying standards, procedures, and techniques designed to: (1) improve the management of records, (2) ensure the maintenance and security of records of continuing value, and (3) facilitate the disposal of all records of temporary value; and compliance with the Federal Records Act of 1950 and any regulations issued thereunder.

The Washington Office maintains liaison between the Forest Service, Department of Agriculture, and the General Services Administration. It develops and maintains policies, standards, procedures, techniques,

systems, and methods that will ensure an effective and economical balance between two managerial requirements, namely: (1) ensuring adequate documentation of functions, policies, decisions, procedures, and essential transactions and (2) making certain that all recorded material of a permanent or temporary nature is kept to a minimum consistent with operational requirements. The Washington Office also establishes and reviews clearly defined communications processes and schedules. Further, it develops and institutes policies and procedures whereby the Forest Service controls the systematic retention, transfer, and disposal of its records.

In the field offices, Regional Foresters, Area Directors, Experiment Station Directors, Forest Supervisors, research project leaders, and District Rangers all have operational responsibilities for the control over paperwork creation, current maintenance, and the preservation of records in their custody.

It is Forest Service policy to make official records available to the public to the maximum extent possible. This policy is based on the principle that knowledge of affairs and activities of the Government is a right of citizens. However, records must sometimes be withheld in order to protect the interests of the public as provided by the nine exemptions of the Freedom of Information Act. Records are not released, for example, if they clearly invade an individual's personal privacy, reveal trade secrets, or damage the planning process.

Correspondence and Other Written Media

The Forest Service must maintain adequate controls on paperwork created to cope with expanding program responsibilities. Keeping control over the quality and quantity of created paperwork directly affects the cost of personnel and storage requirements and materially influences the overall effectiveness of an organization. Progressive refinements in reporting requirements and technological advances in reproduction equipment and other machines can create more and more paperwork to aggravate the problem unless creation is systematically controlled.

The organization of each office and the job responsibilities of each employee contain the general authorities required to create correspondence and other written media. Such authority is limited to essential paperwork

necessary in the conduct of business. Special creative work leading to the publication of bulletins and similar material is approved in advance by the superior officer.

In preparing correspondence, all staff officers must understand their responsibility to consult with other staff officers who share a functional responsibility in the work and also understand the limitations imposed by Forest Service policy pertaining to the clearance, approval, and signing of correspondence and other written media.

Proper clearance is obtained for all outgoing correspondence from other divisions and staff officers sharing a functional responsibility in the reply. The team approach is used in formulating all directives, correspondence, and other written media that involve policies or actions beyond the limits of routine divisional matters.

Records Maintenance and Storage

The day-to-day activities of the Forest Service cover a wide variety of functions and programs that have resulted in the creation and accumulation of many different kinds of records. These records must be properly maintained in compliance with the Federal Records Act of 1950 if the functions of the organization are to be effectively and efficiently performed.

Each organizational unit is responsible for adequate maintenance control over current records so that they will be readily available when required. The need for such controls exists from the time records are created or received until their final disposition.

Proper maintenance requires a continuous analysis and improvement of such operations as mail handling and routing, record classification and index filing systems, the use of filing equipment and supplies, the reproduction of records, and the development of work-production standards to ensure that records are maintained economically and efficiently and their maximum usefulness is obtained.

Records Disposition

All Federal agencies are required by the Federal Records Act of 1950 to establish and maintain an active records disposition program. The Forest Service program provides for the preservation of all records needed to document the organization and its functions, policies, decisions, procedures, and essential transactions.

Chapter 12. Procurement Management

The objectives of the Forest Service procurement organization are to support work programs with suitable equipment, services, and supplies at the least cost and to provide leadership and give assistance in the management of procurement programs and activities.

Supply and procurement officers are informed fully of planned work programs and participate in the development of specifications and other preliminary planning that affects contracting and purchasing. The Regional Foresters and Directors establish procedures whereby program personnel notify procurement officers of equipment and supply needs sufficiently in advance to enable orderly procurement and delivery. Such procedures also require each National Forest and research installation to develop and use a unit service-of-supply plan that is adapted to local and current conditions.

Determination of Needs

Required materials and supplies are determined and listed in advance of needs. This determination is made through analysis of approved work plans and operating plans for recurrent and scheduled nonrecurrent work during the year or other specified planning period. Determination of needs starts at the Ranger District or research unit level. It involves taking inventory before and during the work planning period of the jobs to be done, the supplies needed and when, and the supplies already on hand. Each officer responsible for preparing requisitions for items to be purchased sets up and maintains a want list on which to enter needs as they arise or are foreseen. At scheduled periods, these needs are included in one requisition.

Filling Needs

Excess Lists

Prior to the purchase of new items, consideration is given to use of stocks on hand in each operating unit, including items available from excess lists. For example, Ranger District needs are integrated by the forest property management officer, and excess items in one district are transferred to districts that need them. Where feasible, Forests' needs are similarly integrated at the regional level.

Mandatory Sources of Supply

Mandatory supply sources are used whenever feasible, to keep submission of requisitions to a minimum and thereby reduce overhead and transportation charges, periodic requisitions are consolidated for submission to these sources.

Consolidated Purchase

Where feasible, requisitions for new purchases are consolidated. However, stocking in excess of needs to effect

unit cost savings by centralized consolidated buying is not encouraged. The following criteria are considered in determining if an item can be supplied most advantageously through consolidated purchase for direct delivery to points of use:

1. Items are such that it is feasible to forecast requirements for delivery to specific points.
2. Any of the following conditions favors consolidated purchasing:
 - a. The greatest price advantage, with direct and indirect costs considered, is obtainable through large quantity purchases.
 - b. An item is of special manufacture or design and not readily available from commercial sources.
 - c. Market conditions are such that consolidated purchase is required to ensure adequate supply.
 - d. Contracts for large quantities are necessary to obtain timely deliveries or advantageous prices.
 - e. The quantity is large enough to ensure lowest transportation costs.

Local Purchase

The following criteria are considered in determining that an item be supplied through local purchase:

1. Urgency of need requires local purchase to ensure prompt delivery.
2. Items are perishable or subject to rapid deterioration, which will not permit delay incident to shipment from a distant point.
3. Federal Supply Service Stores serve as a mandatory source of supply for articles listed in the Stores Stock Catalog. However, articles needed in emergencies for satisfaction of day-to-day, point-of-need, unforeseen requirements may be purchased locally by the small purchases procedure.

Supply Through Storage and Issue (Warehousing)

Only those items are stocked for storage and issue that are needed to conduct the current annual work program. The following criteria are used to determine if an item can be supplied most advantageously through storage and issue to use points:

1. Items are physically adaptable to storage and issue and of such character that it is feasible to forecast overall requirements with reasonable accuracy.
2. Rate of use and frequency of ordering are sufficient to justify storage and issue.
3. Rate of deterioration or obsolescence is sufficiently low to avoid unnecessary loss.
4. Supply through storage and issue is required by any of the following factors:

- a. Price advantage through bulk buying makes storage and issue the most economical procurement method, all direct and indirect costs considered.
- b. Advance purchase and storage are compelled by long procurement lead time.
- c. An item is of special design or manufacture and not readily available from commercial sources.
- d. There is no industrial distribution system that ensures availability at the use point.
- e. Volume purchases are necessary to obtain timely deliveries and advantageous prices.
- f. Market conditions are such that adequate supply is ensured only through storage and issue.
- g. Stocking of supplies and materials needed to support emergency plans is required for an indefinite period.

Unit Service of Supply Plans

A written plan is developed by each National Forest and research installation to outline briefly and simply the delegated purchasing authorities, where to obtain various property schedules for submitting requisitions, who can buy what and how much to maintain in cupboard stocks and at sites of work, and related matters. The plan serves as a useful guide and training tool for field personnel, results in better understanding of the supply system by all Forest employees concerned, and minimizes mistakes and irregularities.

Guidelines

The delegation of purchasing and contracting authorities aids in the efficient conduct of work programs. To fulfill delegated responsibilities, every procurement transaction must:

1. Be determined as falling within the limits of the assigned purchasing or contracting authority.
2. Be checked to ensure that funds are legally available and that there are no legal or administrative restrictions against their use.
3. Meet fiscal regulations as well as policies and procedures set forth in the Manual and handbook, including current revisions.
4. Meet job requirements consistent with the established principle of obtaining the most for each dollar expended.

Purchasing and Contracting Duties

Persons assigned purchasing and contracting duties are required to:

1. Provide the highest possible service at the lowest possible cost.
2. Assist subordinate field offices with local purchasing and contracting problems through expert advice and friendly suggestions.

3. Maintain friendly relations with vendors, building good will by fair and ethical dealing, but keeping free of entangling personal alliances with vendors, to permit utmost freedom of action and unbiased decisions in official matters.
4. Cooperate fully with all divisions and units of the Forest Service in the preparation and improvement of specifications and in adequate inspection.
5. Keep in touch with markets, prices, and sources of supply and develop better supply sources where possible.

Regions and Stations

Each Regional Forester and Director establishes an organization to perform the administrative services functions for his unit. Because of the close relationships between procurement, property, space, and records activities and the need for their full integration, these functions, as well as messenger, duplicating, and related administrative services, are usually assigned to one office.

National Forests, Research Centers, and Other Field Units

Decentralized procurement, with proper safeguards and limitations, is recognized as desirable to facilitate field paperwork. It is essential in fire and other emergencies.

The Regional Forester and Station Director establish general policies governing local purchasing. The extent of such local purchasing depends upon adequacy of local supply sources, time lag in obtaining supplies from central supply sources, urgency of need, quality of goods, price comparisons, competence of local personnel to make satisfactory procurement, and related factors.

Forests take full advantage of consolidated or central purchasing whenever available. Items listed in the Federal Supply Service Catalog are ordered from appropriate Federal Supply Service Stores.

Contracts and agreements covering field procurements are handled at local levels to the extent of delegated authorities. Because complicated legal, fiscal, and administrative restrictions surround many procurement transactions, the policy is not to delegate formal contracting authority to Rangers and project supervisors. The latter may be authorized to make local open-market purchases under specific written instructions of the Forest Supervisor when good administration or fire or other emergencies justify such delegation. Rangers' offices should not be burdened with the clerical work involved in bid solicitation.

Contracting

In the Forest Service, many contracting problems are created as a result of broad responsibilities, wide geo-

graphic distribution, great diversity of work programs, and the need for flexibility in program changes.

Contracting is a recognized business method of obtaining products and services from private sources. The general policy of the Government is that no commercial activity will be started or carried on to provide a service or product if such service or product can be obtained from private enterprise through ordinary business channels. Exceptions are made only by the head of an agency. This policy governs the determination of whether force account or contracting should be used.

The execution and performance of formal contracts for expenditure of Federal funds are governed by specific laws and regulations. A contract, after being signed, is a legal document, binding on both the Government and the contractor. Neither party can assume rights or authorities not specifically provided for in the contract. Standard Form 32, General Provisions (Supply), and Standard form 23A, General Provisions (Construction), cite Government-wide mandatory contract requirements.

Adequate inspection of supply, service, and construction contracts is made to ensure contractor compliance. Contracting officers, by delegated authority, are responsible for overall contract administration. Designated representatives perform on-site administration of a contract. Contracting officers need to make periodic on-site inspections of contract performance, at the same time determining the adequacy of contract administration by designated representatives.

Contracting authority is the authorization to solicit bids, make awards, and sign and administer procurement contracts and agreements within the delegated limitations. Necessary contracting authority may be obtained by the Chief from the Department's Director of Plant and Operations and, with the latter's concurrence, such authority may be delegated directly to responsible individuals. Contracting authority exceeding \$10,000 for acquisition of personal property, nonpersonal services, and construction can only be delegated to individuals at the GS-11 and above level.

Responsibilities and Relationships

Contracting for personal property and nonpersonal services is a large and complex job. Expanding programs extend responsibilities in the field. Contracting activities are decentralized as much as possible to fulfill increasing responsibilities and to give the field a maximum degree of flexibility.

To safeguard fully the interests of the United States in efficient, economical contracting and adequate contractor performance requires that only personnel having suitable qualifications and experience be granted authority to perform contracting duties. Training is instituted and vigorously carried on to obtain competence, proficiency, and understanding in the entire contracting field

by personnel at all levels.

Determining whether or not a work project will be performed by contract or force account is the responsibility of program personnel and the contracting officer. Contracting is not an easy way to accomplish work projects in every case. Successful contracting requires at least as much planning and supervision as does force account work. On the other hand, contracting may mean more acceptable work and more certainty of prompt completion, because quality and progress are less susceptible to interference from local administrative emergencies.

Preliminary planning for contracting is little different from force account. The program unit is responsible for site locations, ownership, easements and rights-of-way, access to the area, preparation of general project plans, availability of funds, and availability of personnel qualified to provide effective on-site contract administration as the contracting officer's designated representative. The contracting officer supplies, upon request, the estimated contract price based on previous bids, a list of interested bidders, information regarding market availability of specific materials required, new products and equipment, possible combinations of work preferred by contractors, amount of on-site administration required, the qualifications required of persons to serve as designated representatives, and similar information.

To the greatest extent practicable, regional administrative services officers delegate to Forest Supervisors' offices the responsibility for doing the detailed jobs incident to formal contracting of construction and other work projects on Forests.

Responsibilities of Program Personnel

Forests prepare technical specifications and drawings to be included in Forest-issued invitations to bid. For invitations to bid issued by a Region, the technical specifications and drawings are prepared by the program division or Forest depending on where the responsibility rests. Such specifications and drawings are reviewed by program supervisors for technical deficiencies that may have been overlooked by the drafters before submitting them to the procurement office. Specification defects are one of the primary causes of disputes and appeals; hence the need for careful preparation and review of specifications. The procurement office reviews the specifications from the standpoint of clarity; completeness; restrictiveness in language (but not the technical details); and compliance with applicable laws, regulations, and Comptroller General and court decisions and collaborates with program personnel in marking needed corrections before incorporating them in bid invitations. The administrative regulations of the Department make it clear that the contracting officer is finally accountable for the adequacy of specifications incorporated in contract documents.

While authority for administration of construction or service (work project type) contracts is vested in the contracting officer, the basic work program responsibility

continues to be vested in line officers such as Forest Supervisors.

Chapter 13. Property Management

Personal Property Management

Personal property is property of any kind, both accountable and expendable, except land, improvements, or fixtures attached to improvements. Prefabricated portable structures, such as Butler-type storage warehouses, house trailers (with or without undercarriages), and Quonset huts, are considered personal property.

Excess personal property is any such property under the control of any Federal agency that is not required for its needs or to discharge its responsibilities as determined by the agency head. Property no longer needed by the agency is excess only if it cannot be used advantageously. Materials and component parts may be salvaged without declaring property excess, but only for foreseeable needs.

Surplus personal property is any such excess property not required to fulfill the needs or to discharge the responsibilities of all Federal agencies as determined by the Administrator of the General Services Administration.

Personal property is managed in accordance with the provisions of the Federal Property and Administrative Services Act of 1949, as amended, and regulations of the General Services Administration, the Secretary of Agriculture, and the Chief of the Forest Service. This act is available in pamphlet form from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402. Specific statutes applicable to single phases of property management activities, such as the law pertaining to the sale or exchange of animals or animal products, are covered in Manual references.

A Forest Service objective is maximum use of all property under its control. Full use of Government property is a basic responsibility of every administrator in the Government. The first source of supply is property declared excess by other Forest Service units and by other agencies. Forest Service property is not held to meet the needs of contemplated programs or activities unless they are already authorized and funds are available.

The policy is to manage property efficiently so that it is fully used in the best interest of the Government as a whole. Statutes permitting loan and transfer of property to avoid unnecessary purchases are therefore applied extensively. The Chief has established controls and performance standards that include dollar targets to control nonexpendable property. These are designed to provide an economical and efficient system for the acquisition, use, maintenance, protection, and disposal of property.

Employees are held responsible for the proper use and protection of any property that may come into their custody or control. If they receive accountable personal property from any source, they are required to sign for it on the appropriate form. Receiving employees are not to sign receipts until their correctness has been verified or until articles have been actually received or placed at their disposal. If employees do not take these pre-

cautions, they are still held responsible should a discrepancy be discovered later.

Except in emergencies threatening loss of life or property or as may be authorized by law, Government-owned or leased property is not used for any purpose other than in the performance of official work. No employee may appropriate for personal use any article of Government property that has been ordered abandoned or destroyed.

When it is necessary to assign custodial responsibility by location or units, the property management officer (see Real Property Management) assigns such responsibility in writing to a competent, well-qualified employee.

Stores and Cupboard Stock Management

Cupboard stock facilities are maintained on National Forests and at other field locations to maintain stocks of equipment and supplies for current program needs.

The regional director of administrative services is responsible for controlling stock activities to maintain adequate stocks and to avoid dead stocks and excessive investment. Both future and past work programs must be reviewed as changes frequently affect demands for supplies and equipment.

Vigorous action must be taken to stop all leaks in operating costs and keep overhead to the minimum consistent with good business management and the purposes of the stores stock operation as a whole. "Service" is the key word for all stores and is their primary function. When a store fails in that respect, its purposes are defeated. During periods of high fire hazard, a store is organized to answer calls immediately, night or day. During normal times requisitions for supplies are ordinarily handled within 24 hours after receipt.

Fleet Equipment Management

Fleet equipment management means establishing and using systematic administrative controls to:

1. Establish the size and makeup of the Government-owned motor equipment fleet.
2. Finance fleet equipment replacement, maintenance, and operations.
3. Assign equipment to meet program needs.
4. Supervise equipment use and maintenance.
5. Keep accurate equipment use and cost records.
6. Establish adequate use, service, and maintenance standards.
7. Train operators and mechanics for proper use and maintenance of equipment.
8. Ensure compliance with established practices, objectives, procedures, and standards.

The basic objective in managing the Forest Service fleet of automotive vehicles and heavy equipment is to provide proper, efficient, economic, and safe operating units in sufficient number to meet work requirements.

Experience shows that Government ownership is economical for units that will receive sufficient use prior to obsolescence. Extra equipment not available in the fleet and needed only for intermittent or seasonal use is rented as needed from outside sources or hired with an operator. Another alternative is to contract the entire job on which special equipment is needed.

The organization necessary to ensure safe, dependable, and economical operation of equipment is determined by Regional Foresters and Station Directors through careful analysis of types of fleet equipment and of conditions prevailing in their respective Regions. The relative merits of commercial repair facilities, forest and project shops, and central shops receive careful consideration. A decision is then made as to the type of facility or a combination of Forest Service shop and commercial services, whichever is best suited to meet prevailing local conditions.

The degree of centralization of maintenance facilities is governed by the distribution of equipment, seasonal pattern of use, distance between field units, and similar considerations. Regardless of how equipment administration, maintenance, and operation are handled, it is important to maintain a chain of control through the various organization levels.

Regional equipment maintenance facilities and other services are made available to and used by research stations and project centers.

Efficient operation of a large and diversified fleet of equipment requires that a Government agency pattern its activities much the same as a private concern similarly engaged. Firm conditions, performance requirements, and reliable records are essential in establishing standards and measuring performance.

Within policies and standards prescribed by the Chief, sufficient controls are established by Regional Foresters and Station Directors to ensure:

1. Closely coordinated equipment use plans.
2. Sound financing of equipment costs.
3. Proper care of idle equipment and disposal of excess equipment.
4. Adequate and reliable use records (logbooks).
5. Reliable records for determining cost of fleet management, shop operation, maintenance, operation, and depreciation.
6. Complete records and reports on fleet equipment.
7. Efficient performance, maintenance, and care.
8. Keeping all equipment in a safe and efficient operating condition.
9. Assignment of basic responsibilities to qualified and properly trained personnel.

In addition to safety and minimum maintenance standards established by the Chief, Regional Foresters and Station Directors determine the extent to which supplemental standards are needed to meet local re-

quirements. Considerations include prompt and dependable action in response to fire calls, continuous operation on seasonal road maintenance, and uninterrupted duty on other activities. The level at which such supplemental standards are established must be supported by proof that needs justify the cost of meeting the standards.

In conformity with the established line of authority, the responsibility for fleet equipment management starts with the Chief and extends through Regional Foresters and Station Directors, Forest Supervisors or research project leaders, and District Rangers. Interagency motor pools and transit systems are established when studies in a selected area, as determined by the General Services Administration, indicate that establishment of a pool is advantageous to the Government in terms of economy and efficiency, with due regard to the program activities of the agencies concerned.

The Forest Service cooperates with the General Services Administration in every way possible in furnishing statistical data for motor vehicle pool studies and information relative to program requirements. This cooperation also extends to the use of pooling facilities when such arrangements in no way impair program operations and responsibilities.

Real Property Management

Real property is defined as any interest in land, together with the improvements, structures, and fixtures located thereon and appurtenances thereto, under the control of any Federal agency, except:

1. The public domain.
2. Lands reserved or dedicated for National Forest or National Park purposes.
3. Minerals in lands or sections of lands withdrawn from the public domain that the Secretary of the Interior determines are suitable for disposition under the public land mining and mineral leasing laws.
4. Lands withdrawn or reserved from the public domain, but not including lands or sections of lands so withdrawn or reserved that the Secretary of the Interior with the concurrence of the Administrator of the General Services Administration determines are not suitable for return to the public domain for disposition under the general public land laws because such lands are substantially changed in character by improvements or otherwise.
5. Crops, gravel, sand, stone, and timber when designated by a Federal agency for removal from the land.

The Federal Property and Administrative Services Act of 1949, as amended, gives the General Services Administration (GSA) broad authority in the field of real property management. The Administrator of GSA is required to prescribe policies and methods for the economical and

efficient use of real property. To the extent it is advantageous to the Government and with due regard to program activities of the agencies concerned, the Administrator of GSA is authorized to operate and, after consultation with the agencies affected, consolidate, take over, or arrange for the operation by any executive agency of buildings, warehouses, supply centers, repair shops, and similar facilities.

Under Reorganization Plan 18 of 1950, the Administrator of the General Services Administration delegated certain functions in the operation and management of real property. Authority was delegated to the Secretary of Agriculture (with power of redelegation) to dispose of and acquire real property; to manage Government-owned office buildings or parts thereof acquired by lease; to perform functions for acquiring certain types of buildings by lease for use by the Department of Agriculture; and to control the assignment and reassignment of such space and the operation, maintenance, and custody thereof.

The Director, Office of Operations and Finance, delegated authority to the Chief, who has redelegated such authority to Regional Foresters, regional administrative service directors, Station Directors, and station management officers to:

1. Acquire leased space, including regional and experiment station headquarters space and regional or area repair depots and warehouses. This authority includes acceptance of bids and execution of leasing documents.
2. Contact General Services Administration and Postal Service field offices for space acquisition, use, and assignments or arrange for alteration and repair of buildings under control of those agencies.
3. Operate, maintain, and have custody of space under the control of the Forest Service.

These authorities are subject to the following limitations:

1. The authority must be exercised as required by regulations and procedures of the Department, the General Services Administration, and the Postal Service.
2. The delegation does not include authority to obtain space in the District of Columbia.

The Chief, Regional Foresters, Directors, and Forest Supervisors designate property management officers in writing. Individuals selected for this assignment must be familiar with real property conditions and the requirements of their unit to administer the real property management program in their area. In the Washington Office, the Property Management Group Leader, Administrative Services Staff, is designated as the property management officer for the Forest Service. To attain the best possible coordination in managing all Government property, it is desirable to designate one property management officer who will be responsible for both real

and personal property. This is of particular importance in Experiment Stations and National Forests.

The Forest Service manages its real property holdings for maximum use consistent with the best interests of the Government.

The Washington Office is notified of proposed leasing actions for Region or Station headquarters prior to negotiating or making definite commitments.

Regions and Stations have operational responsibility for supervision, custody, and management of real property, and compliance with the policies outlined above.

Space Management

The objective of space management is to obtain the most efficient and economical use of space at all levels of organization irrespective of the agency having administrative control or custody over the space and to outline the responsibilities for effecting such use.

Regions, Stations, and State and Private Forestry Area offices periodically review their use of space for efficient and full utilization and cooperate in furnishing space and personnel-occupancy data to the General Services Administration as requested.

Forest Service Space Utilization Policy

1. *Analysis.* Space needs are determined by appropriate analysis, which preferably makes use of template layouts.
2. *Single-room occupancy.* Ordinarily, single occupancy of rooms is limited to specific positions requiring privacy.
3. *Equipment space requirements.* The space analysis covers space for personnel files and working tools and visitor or work conferences. Only those files and working tools are included that are absolutely necessary for the proper operation of the position.
4. *Review of leased space.* Leased space is reviewed with the aim of obtaining full utilization at lowest possible rental cost.
5. *Provision for space in new Forest Service buildings.* New designs for office buildings to be constructed by the Forest Service are based on prescribed standards and template layout analysis.

A realistic allowance is made to provide for a foreseeable increase in workload and personnel in the immediate future. Needs for the next 10-year period are visualized and provided for in the plans.

To carry out Department policy of office consolidation and common services, our field offices must clear space requests for leased space within the Department's administrative committees.

By executive order, an annual review is to be made to determine that only such real property as can be economically and efficiently utilized is retained. Public

domain holdings are excluded but the review includes improvements on such property.

Residence Occupancy Policy

Through purchase or construction, Federally owned residence quarters are provided for Forest Service employees to the limit of available funds and authorizations under prescribed conditions. Employees provided quarters are charged the reasonable value to the employee of the quarters as rent.

Permissive Occupancy

Official quarters are provided for employee occupancy at many locations. Generally, such quarters are provided because suitable privately owned quarters are not available.

Required Occupancy

The Regional Forester or Station Director will determine the rare specific cases where occupancy is required

and notify the employee in writing. Determination will be based on the need to provide necessary service to the public, protect natural resources, or operate necessary equipment. Such employees include recreation aides at heavily used remote recreation areas, fire lookouts, and firefighters who must be immediately available for fire suppression and certain employees at tree nursery or research installations.

Energy Conservation—Management of Consumption

The objective of energy conservation—management of consumption is to establish goals and to administer, control, and report the energy consumed by automotive and equipment operations and buildings and facilities operations in carrying out the agency work programs.

Chapter 14. Finance and Accounting

This chapter sets forth the general policy and basic requirements pertaining to finances, accounting, and related fiscal operations of the Forest Service. This includes securing funds needed to operate programs, ensuring obligation of funds for the purposes designated, and accounting for the funds and resources used.

A primary objective of finance and accounting is to organize, provide leadership for, give assistance in, and coordinate finance and accounting activities throughout the Forest Service in a manner that will: (1) ensure compliance with applicable laws, regulations, policies, and other requirements; (2) provide the maximum support to all authorized programs, including advice on methods of handling new and unusual situations within available authorities; and (3) provide control and protection of the assets of the United States under Forest Service administration.

A further objective is to effect internal improvements and economies that will ensure efficient handling of finance and accounting work in an acceptable and businesslike manner.

The finance and accounting phases of the Forest Service program are founded on the following general policies:

1. That employees shall comply with all applicable laws, regulations, and requirements that the Department, General Accounting Office, Treasury Department, Bureau of the Budget, and other Federal agencies may issue in their respective fields relative to the financial administration, control, and operation of the Government's fiscal affairs.
2. The employees shall at all times maintain the integrity of the funds for which they are chargeable and ensure that these funds are used only for the purpose for which they were made available.
3. That various funds shall be integrated into a balanced program, which in response to the desires of Congress, will produce maximum effectiveness in terms of accomplishments.
4. That accounting and related fiscal operations shall provide:
 - a. Full disclosure of the financial results of the agency's activities.
 - b. Adequate financial information to meet the needs of management.
 - c. Effective control over and accountability for all funds, property, and other assets for which the agency is responsible, including appropriate audits.
 - d. Adequate administrative controls for limiting obligations and expenditures to amounts permitted by approved apportionments or allotments therefrom.
 - e. Accounting information to serve as the basis

for budgetary preparation, to control execution of the budget, and to furnish financial data for budgetary reporting.

f. Suitable integration of the agency's accounting system with that of the Treasury Department to facilitate reporting requirements.

Appropriations and Funds

The term appropriation is used here to define all classes of funds available for use by the Forest Service and is not limited to those funds actually appropriated by Congress. Funds available for financing Forest Service programs are derived from several sources.

1. Annual appropriations by Congress specifically for Forest Service work and included in the Interior and Related Agencies Appropriation Act. These are identified as regular appropriations and are as follows:
 - a. Forest Management, Protection, and Utilization (Limitations: Research, State and Private Forestry, National Forest System).
 - b. Construction and Land Acquisition.
 - c. Conservation Training and Employment (Youth Conservation Corps).
 - d. Acquisition of Lands for National Forests, Special Acts.
 - e. Acquisition of Lands to Complete Land Exchanges.
 - f. Rangeland Improvements.
 - g. Construction and Operation of Recreation Facilities.
2. Appropriations that are based on permanent authorized legislation not requiring annual appropriation action by Congress. The available amounts are determined from pro rata distribution of National Forest receipts or by actual amounts collected for the specific programs as authorized by the legislation for each program. These appropriations are identified as permanent and are as follows:
 - a. Expenses, Brush Disposal.
 - b. License Programs: Smokey Bear & Woodsy Owl.
 - c. Timber Salvage Sales.
 - d. Timber Roads, Purchase-election.
 - e. Restoration of Forest Lands and Improvements.
 - f. Payment to Minnesota.
 - g. Payments to Counties, National Grasslands.
 - h. Payments to School Funds, Arizona and New Mexico.
 - i. Payments to States, National Forests Funds.
 - j. Roads and Trails for States, National Forests Funds (10-percent Fund, transferred annually to the regular appropriation Forest Roads and Trails for obligation purposes).

3. Annual appropriations by Congress for programs of other agencies of the Department of Agriculture in which the Forest Service participates. These appropriations are included under the Department of Agriculture and Related Agencies Appropriation Act and are as follows:

- a. Flood Prevention (Soil Conservation Service).
- b. Watershed Works Improvement (Soil Conservation Service).
- c. River Basin Surveys and Investigations (Soil Conservation Service).
- d. Watershed Protection (Soil Conservation Service).
- e. Watershed Planning (Soil Conservation Service).
- f. Resource Conservation and Development (Soil Conservation Service).
- g. Expenses, Agricultural Stabilization and Conservation Service.

4. Advances from other Government agencies to the Forest Service for work authorized under specific authority. These are consolidated working funds or transfer appropriations and are as follows:

- a. Oregon and California Grant Lands (Bureau of Land Management).
- b. Land and Water Conservation Fund (Heritage Conservation and Recreation Service).
- c. Young Adult Conservation Corps (Department of Labor).
- d. Comprehensive Manpower Assistance, Job Corps (Department of Labor).
- e. Highway Trust Fund (Treasury Department).
- f. Regional Development Programs (Department of Commerce).

5. Funds are also advanced to the Forest Service under section 601 of the Economy Act. These advances are identified in a consolidated working fund.

6. Trust funds, composed of contributions for authorized classes of cooperative work from non-Federal sources, including the appropriation for Cooperative Work, Forest Service.

7. Working capital fund, established to facilitate financing of supply service and equipment service activities, including air fleet operations. This fund includes automotive equipment, aircraft, central supply service, tree nurseries, sign shops, photo shops, and subsistence.

8. Reimbursements made to appropriations for work performed for other Government agencies in accordance with section 601 of the Economy Act and other laws or by local agencies or individuals under other authorities when funds are not transferred or deposited in advance.

The Forest Service objective is to operate with as simple an appropriation structure as possible, considering the diversified nature of its programs, variety of basic laws under which appropriations are made, and numerous sources of available funds. Separate appropriations for the same type programs are merged where possible. Appropriation requests are based on demonstrated needs and designed to obtain maximum accomplishment, correlation, and balance among all programs.

The appropriation structure and system of appropriation subdivisions will primarily follow program lines, which largely coincide with the organizational pattern. Most operating units will have diversified programs requiring use of several appropriations, subappropriations, activities, and functions. Estimates for appropriation requests are aimed toward Resource Program Act (RPA) needs, field conditions, and priorities based on periodic workload analyses, project work inventories, work and line projects, area and cost studies, and related data.

The Congress exercises its Constitutional duty to prescribe the purpose for which Government funds will be expended through the terms of appropriation acts. The Executive Branch is charged with responsibility for compliance. The general statute requiring that appropriations be used as intended by Congress appears in 31 USC 628. There are several exceptions in law that permit some interchange of Forest Service appropriations:

1. Funds from any Forest Service appropriation may be advanced in an emergency for fighting forest fires and repaid later from supplemental appropriations (31 USC 534).

2. Public law 89-473 (31 USC 628a) authorizes, as an administrative convenience, the temporary charging of one appropriation for the benefit of another appropriation if funds are available for the purpose in both appropriations. Refund to the appropriation initially charged must be made so that the expenditure is charged to the benefiting appropriation by the close of the current fiscal year.

3. The Department of Agriculture Organic Act of 1944 (7 USC 2257) authorizes transfer of funds between appropriation items within individual agencies of the Department, with prior approval of the Secretary, as follows:

Not to exceed 7 per centum of the amounts appropriated for any fiscal year for the miscellaneous expenses of the work of any bureau, division, or office of the Department of Agriculture shall be available interchangeably for expenditures on the objects included within the general expenses of such bureau, division, or office, but not more than 7 per centum shall be added to any one item of appropriation except in cases of extraordinary emergency.

4. The Appropriation Act provides that the Roads and Trails for States (10-Percent fund) permanent appropriation may be merged with the regular Forest Roads and Trails appropriation. This transfer is accomplished at the Washington Office level.

Funds provided in appropriation acts are not available for obligation until the appropriation acts are passed by the Congress and approved by the President (unless authorized by a joint resolution of the Congress) and until allotments or allocations are made to obligating units. Therefore, officers do not incur any obligations against newly appropriated funds until formally authorized through channels.

The various acts that authorize Forest Service programs and Department programs in which the Forest Service participates and two major annual appropriation acts providing funds for these programs define in broad terms the purposes for which the funds may be used without detailed descriptions of the individual elements of work.

The Interior and Related Agencies Appropriation Act provides that funds are appropriated in the Forest Land Management subappropriation for expenses of the Forest Service that are not otherwise provided for, but that are necessary to administer, improve, develop, and manage lands, water, or interests therein under Forest Service management; to fight and prevent forest fires on or threatening such lands, including necessary emergency rehabilitation and to liquidate obligations incurred in the preceding year for such purposes, and to control forest diseases and insects on Federal and non-Federal lands. This act also provides funds as authorized by law for forest research, state and private forestry cooperation, and other purposes as indicated earlier.

The Department of Agriculture and Related Agencies Appropriation Act provides funds as authorized by law for carrying out provisions of the Watershed Protection and Flood Prevention Act, Flood Control Act, for Resource Conservation and Development, and for other purposes as indicated earlier.

Financial Management

The financial management system has been developed to attain the following major objectives:

1. Allot funds at the highest practicable level consistent with management needs and within any limitations of use of funds established by executive or legislative requirements.
2. Distribute funds to operating units in a timely and equitable manner consistent with program objectives and organizational requirements.
3. Integrate each operating unit's funds into a soundly developed financial plan of action.
4. Establish and maintain effective controls to en-

sure that funds are used for planned work; that expenditures from an appropriation benefit the work for which it was made; and that they are in accord with laws, regulations, and directives.

5. Establish a standard format for adequately documenting financial plans and permitting review by higher authority.

6. Establish procedures for timely cost-of-business analysis and performance checks as an aid to maximum economy and efficiency of operation.

The financial management objectives are implemented by consistent application of the following practices:

1. The Forest Service maintains an up-to-date financial management system for preparing and executing sound financial plans and supporting work plans at all organization levels.
2. Servicewide formats and procedures are established and continuously reviewed and improved to maintain a dynamic system serving the needs of management. The formats and procedures are designed primarily to serve the financial planning and administrative needs of on-the-ground forest officers.
3. Reports or financial data from field offices are requested only when such information cannot be obtained from financial plans or accounting records.
4. The maximum authority consistent with position responsibility is delegated to the heads of all operating units for managing finances in compliance with legislation, regulations, and administrative program objectives and instructions. This delegation of authority is essential so that on-the-ground managers may attain broad administrative objectives under the prescribed system of financial controls.

Responsibilities

1. *Chief.* The Chief of the Forest Service is responsible for allocating appropriated funds equitably to Regional Foresters, Area Directors, and Station Directors and for prescribing Servicewide budget, accounting, and fiscal management policies; administrative objectives; and procedural instructions. The budget responsibilities are assigned on behalf of the Chief to the Director of Program Development and Budgeting, through the Deputy Chief for Programs and legislation.

Accounting and fiscal management responsibilities are assigned to the Director of the Fiscal and Accounting Management Staff, through the Deputy Chief for Administration.

2. *Regional Foresters and Directors.* Regional Foresters and Area and Station Directors are responsible for establishing and maintaining sound financial and accounting management programs within

the objectives prescribed by the Washington Office and the framework of available financing; for equitably allocating available funds to National Forests, State and Private Forestry cooperative projects, and research projects based on work quotas, objectives, and organizational requirements; and for prescribing effective methods of performance control.

Responsibility for these activities is assigned to the budget or financial management staff and the Fiscal and Accounting Management Staff in Regional offices, and to the Research Support Services Staff at Stations. These responsibilities for the Northeastern Area are assigned to the Research Support Services Staff of the Northeastern Station, and for the Southeastern Area are assigned to the Budget and Fiscal and Accounting Management Staffs of Region 8.

Budget and fiscal matters between Regional, Area, and Station offices and the Washington Office or between these offices and the National Forests or research units are cleared through these staff units. Staff Directors of the Regions, Areas, and Stations participate in making major budget decisions, reviewing and approving annual budgets, and preparing program allocations and objects.

3. *Forest Supervisors and project leaders.* Forest Supervisors and research project leaders have responsibility for managing available finances in accordance with laws, regulations, and administrative objectives; establishing work quotas and objectives for all Ranger Districts and other operating units within the framework of available funds and in accordance with general program guides; equitably allocating funds, manpower, and equipment to attain approved work quotas and objectives; and establishing and maintaining work planning methods that will ensure the integration of available finances with quotas and objectives into an effective system of financial and program controls.

4. *Rangers and other subunit heads.* District Rangers and the heads of other field operating units have the responsibility for economically and effectively using available finances in the conduct of on-the-ground programs. This responsibility includes the broad and complex field of functional program analysis and evaluation and the integration of work plans with available funds to maintain a balance among functional program needs. Program execution requires maximum delegation of authority by the next higher line officer to permit the District Ranger and the heads of other field operating units to conduct their work.

Principles of Financial Management

The budget function is one of the primary program controls exercised by management at all levels. The functions of budgeting are to provide for the use of funds in a manner that will implement appropriation acts and planned programs; ensure equitable distribution of available funds to operating units; and provide financial planning, coordination, and controls for program execution. The accounting system is correlated to the budget system as a means of ascertaining, through factual recording, the actual disposition of funds resulting from program execution.

The following are components of financial management:

1. *Analysis of program needs.* A factual appraisal is made of current program needs and required organization of each operating unit.
2. *Allocation of available funds.* Based on analysis of needs, available funds are distributed to operating units on an equitable basis to finance established quotas, objectives, and basic organizational costs.
3. *Preparation of financial plans and work plans.* Upon receipt of fund authorizations and program objectives and quotas, operating units prepare detailed work plans identifying specific work to be accomplished and a financial plan showing the financing for the basic organization and project work.
4. *Program execution.* This involves assigning responsibility; giving instructions for executing the plans; obtaining the necessary manpower, equipment, and materials to attain the program objectives; and performing related supervisory functions.
5. *Program controls.* This includes periodically reviewing and inspecting program execution to determine quality, cost, and status of work; revising financial and work plans as required within permissible limits of authority and financing; and obtaining other elements of performance required by management.

The basic financing methods prescribed for preparing financial plans are:

1. *Direct financing.* This system is used when the time of employees and other services can be directly identified with the benefiting appropriation and function and pertains primarily to on-the-project expenses.
2. *Indirect financing.* Many elements of expense cannot be directly identified with the benefiting appropriations and functions, such as general administrative and facilitating service salaries and related expenses. These are called indirect expenses,

since normally they are services required to administer and facilitate the work of one or more appropriations on a concurrent basis.

Indirect expense costs are distributed to the appropriations benefited on the basis of planned annual expenditures and other pertinent workload factors for each appropriation. Financing formulas are developed to facilitate this distribution.

3. *Group performance.* Base organization expenses above the Ranger District level are budgeted according to prescribed criteria by using the indirect method or by using the direct method where planned staff work can be identified with the benefiting appropriation and functions.

The budget of an administrative group of employees, such as the Forest Supervisor and line staff and Regional office program division staff, whether budgeted under the direct or indirect method, is in effect a group performance budget. Recognition of group rather than individual performance in these categories is a fundamental concept of sound accounting.

Financial Bases

The purpose of a financial base is to provide an analysis of needs as a basis for fair and equitable distribution of available funds to operating units, consistent with program objectives and organizational requirements. Development, maintenance, and use of such bases follow standard practice. The following requirements are essential to the financial base procedure.

1. Workload data, project work inventories, research work and line project reports, area and cost studies, and other related data are systematically accumulated to provide allotment bases for the equitable distribution of available funds. All such data are reviewed and revised periodically to reflect changing programs and organizational requirements, field conditions, and priorities. The bases prescribe quotas and objectives.

2. Allotment bases are used to distribute funds to all operational units. This procedure is followed by the Washington Office in allocating funds for Regional Offices, National Forests, State and Private Forestry Areas, and research administration. The same procedure applies in the allocation of funds by Regional Foresters and Station Directors for National Forests and research units. However, in distributing funds for administrative costs to National Forests and research units, some deviation in financing may be necessary pending consolidations and reorganizations for units with relatively small workloads. In applying the allotment base procedure below these levels, other local factors may need to be considered.

3. In determining the relationship of funds among various organizational levels, it is essential to ensure maximum feasible distribution of available funds to the Ranger District and comparable levels where the job of resource management and other program action is underway.

Financial Plans

Preparation of sound financial plans is one of the most important responsibilities of management in the field of program execution and is an essential step in work planning and accomplishment. Every organizational unit in the Forest Service is required to prepare a financial plan at the beginning of each fiscal year. These plans provide each operating unit with a systematic method of showing program obligation estimates for the approval of the responsible office.

Plans of work and corollary financial plans need to be prepared concurrently, in a timely manner, and in conformity with uniform guides and formats. Financial plans are factual and show fully the use to be made of available funds. It follows that no work is started for which financing is not available. It is the responsibility of each officer at the next higher level to ensure that financial plans are prepared in accordance with these requirements.

Financial Controls

The formalized system of financial management controls used by the Forest Service ensures that program objectives and quotas will be attained substantially as planned within the limits of funds available and in compliance with legislation and other regulatory authorities. The controls provide for the timely and effective analysis of actual costs in the interest of increased efficiency and also facilitate future work planning. Controls consist of current review and adjustment of financial plans, records of work accomplishments, accounting records, and performance checks.

Financial plans are reviewed and adjusted, when necessary, to changing program requirements to secure program control on a continuous basis.

Forest Service policy provides that an adequate system of accounting and internal control be established and maintained to conform to the policies, principles, standards and requirements of the Congress, other executive departments, and the Secretary of Agriculture. It also provides that the accounting system, as established, be uniformly used within the various accounting offices. Some refinements and additional accounting records may be established to meet the needs of management as provided for under the specific types of accounts.

Collections

The Forest Service is responsible for establishing internal administrative procedures for the prompt collection and deposit of all moneys due the United States from whatever source. The following policies are basic in meeting this responsibility.

1. Collections are made in advance of furnishing services or use of resources, except as specifically provided.
2. Billings for amounts due are issued promptly and recorded as amounts due.
3. Prompt followup is made on billings not paid within a reasonable time.
4. Adequate safeguards are provided to ensure proper accounting for and disposition of collections.
5. Field officers who have not been designated as collection officers may not accept cash or remittances, except in emergencies.

Individual responsibility for making collections varies with the nature of the transaction. However, all forest officers are responsible for knowing when amounts are due the Government and for taking appropriate action to see that collection is made.

Payments

Forest Service vendor payments are made through the National Finance Center (NFC), except for special cases that are settled by the General Accounting Office or other authority. Salaries of most Forest Service employees are paid by NFC in New Orleans. Unless authorized by law, individuals or organizations cannot make themselves creditors of the United States by assuming its obligations. They cannot assume the functions of a designated disbursing officer.

Claims

Any amount due or alleged to be due from the United States is a claim. Officers and employees are prohibited from inviting a claim or aiding in its prosecution. This does not mean that an invoice should not be requested when there is no question about the Government's liability (30 Comp. Gen. 266). If a claim has been initiated, an employee may inform the claimant how it should be prepared and presented.

Documents that subsequently support payments by the Government must not be signed in blank under any circumstances. The items and amount must be written in before the document is signed. No certificate or statement will be inserted above a signature without approval of the person who signed the document.

Imprest Fund

The Imprest Fund is a fund established without appropriation identity by the advance of cash from a disbursing officer to a designated cashier for the purpose of

making immediate payments of comparatively small amounts. The fund is replenished on a revolving basis. The Forest Service encourages people to use the cash method, under proper controls, to speed up and simplify the payment of numerous small bills, which arise out of activities at outlying offices.

Under no circumstances is an authorized certifying officer designated as Imprest Fund cashier.

Assistant Disbursing Officers

The Forest Service arranges with the Treasury Department to designate certain Forest Service employees to issue checks on the spot during forest fire emergencies. Such payments are confined to wages of casual firefighters and for equipment that may be hired from them.

Travel and Moving Expenses

Only those travel expenses that are essential to transacting official Forest Service business are allowed. Itineraries are carefully planned in advance to provide maximum service for the travel involved. Much of the planning of official travel is, of necessity, left to the discretion of the traveler, who is expected to exercise the same care in incurring expenses that a prudent person would exercise if traveling on personal business. Use of first class air travel must be post-approved by the Secretary of Agriculture. Such use must be well documented as the official need. Full use should be made of "air coach," "air tourist," or similar accommodations in all situations where such accommodations meet reasonable travel requirements. Authorizing officials, as well as those who administratively approve travel, limit travel to that required for the transaction of Forest Service business, provide for use of the most economical accommodations that will meet program requirements, and take other steps necessary to ensure compliance with the spirit and intent of current travel regulations.

The policy with regard to travel expenses is to:

1. Reimburse the traveler, within the limits prescribed by law, GSA Federal Travel Regulations, the U.S. Department of Agriculture, and other applicable regulations and requirements, for the expenses necessarily incurred in handling official business.
2. Administer the travel program so that the per diem or other expenses authorized will cover the necessary travel expenses and the traveler will not be put to personal expense.
3. Require all travelers to submit promptly after the completion of official travel an accurate and factual statement of travel on the prescribed travel voucher form.

Employees who are transferred in the Government interest for permanent duty are entitled to payment of moving allowances under regulations issued by the GSA and

the U.S. Department of Agriculture. Forest Service policies and procedures substantiate these regulations. Employees must sign an agreement to remain in the Government service for a specific period of time after the transfer to be eligible for moving allowances. The usual allowances include payment of:

1. Travel and transportation of the employee and immediate family.
2. Movement of household goods.
3. Miscellaneous expenses.
4. Certain real estate expenses.

In addition to the above, the expenses of a house-hunting trip or temporary quarters may be authorized under justifiable circumstances. A person recruited to fill a scarce category position may be allowed certain travel and transportation expenses incurred in reporting to his first duty station. Special provisions apply for transfers to or from locations outside the States.

The Director of the Fiscal and Accounting Management (F&AM) Staff [Conterminous United States] in the Washington Office has responsibility for Servicewide policies and procedures pertaining to expenditures for travel and moving expenses. The Regional staff director of F&AM has a similar responsibility for the Region, Area, and Station under his jurisdiction.

Authorizing or Approving Travel and Moving Expenses

The Secretary of Agriculture, in his general delegation of authority to agency heads, has delegated authority to the Chief of the Forest Service to authorize or approve travel and transportation in accordance with applicable statutes, the GSA regulations, Comptroller General decisions, and Department regulations and to redelegate such authority to appropriate Forest Service officers.

The Department regulations reserve certain authorities to the Office of the Secretary.

Certain authorities are also reserved to the Office of the Chief of the Forest Service. The following types of travel are referred to the Washington Office for prior security purposes.

1. Superior accommodations for security purposes.
2. Per diem for periods of illness in excess of 14 days.
3. Actual expense travel of other than Government employees.
4. Foreign travel.
5. Travel involving payment of expenses by non-Federal sources, except when performed under the terms of a formal cooperative agreement or for training or attendance at meetings under authority of chapter 41, title 5, of the USC (formerly known as the Government Employees Training Act).

About The Forest Service

As our Nation grows, people expect and need more from their forests—more wood; more water, fish, and wildlife; more recreation and natural beauty; more special forest products and forage. The Forest Service of the U.S. Department of Agriculture helps to fulfill these expectations and needs through three major activities:

- Conducting forest and range research at over 75 locations ranging from Puerto Rico to Alaska to Hawaii.
- Participating with all State forestry agencies in cooperative programs to protect, improve, and wisely use our Nation's 395 million acres of State, local, and private forest lands.
- Managing and protecting the 188-million acre National Forest System.

The Forest Service does this by encouraging use of the new knowledge that research scientists develop; by setting an example in managing, under sustained yield, the National Forests and Grasslands for multiple-use purposes; and by cooperating with all States and with private citizens in their efforts to achieve better management, protection, and use of forest resources.

Traditionally, Forest Service people have been active members of the communities and towns in which they live and work. They strive to secure continuous benefits from the Nation's forest resources for all people.

For more than 70 years, the Forest Service has been serving the Nation as a leading natural resource conservation agency.

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